DEPARTMENT OF TRANSPORTATION AND RELATED AGENCIES APPROPRIATIONS FOR 1987

HEARINGS

BEFORE A

SUBCOMMITTEE OF THE

COMMITTEE ON APPROPRIATIONS
HOUSE OF REPRESENTATIVES

NINETY-NINTH CONGRESS

SECOND SESSION

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PART 1

1987 BUDGET JUSTIFICATIONS

Page

Department of Transportation:

Coast Guard 1
Federal Highway Administration 241
National Highway Traffic Safety Administration 451
Office of Inspector General 621
Research and Special Programs Administration 649
St. Lawrence Seaway Development Corporation 729

Related Agencies:

Architectural and Transportation Barriers Compliance Board 753
Interstate Commerce Commission 767

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U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1987

UNITED STATES COAST GUARD

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

1987 COAST GUARD BUDGET ESTIMATES

CONTENTS

I. General: Page (s)

A. General Statement.......................... 1
B. Resource Summary - Financing.............. 2
C. Resource Summary - Staffing................ 3
D. 1987 Coast Guard Budget Summary........... 4 to 5
E. Military Personnel Summary - Average numbers 6
F. Military Personnel Summary - Year-end numbers 7
G. Working Capital Fund...................... 8
H. Consultant Services....................... 9 to 18
I. Schedule of Permanent Positions........... 19
J. Chart of Coast Guard Districts............ 20

II. Operating Expenses:

A. Budget Schedules.......................... 21 to 33
B. Justification............................. 34 to 54
C. Proposed Legislation...................... 55 to 56
D. Public Law 99-177......................... 57 to 58

III. Acquisition, Construction and Improvements:

A. Budget Schedules.......................... 59 to 64
B. Public Law 99-177......................... 65 to 66
C. Justification............................. 67 to 88
D. Department of Defense Coastal Defense Augmentation Account (P.L. 99-190).................... 89 to 105

IV. Alteration of Bridges:

A. Budget Schedules.......................... 106 to 108
B. Public Law 99-177......................... 109 to 111

V. Retired Pay:

A. Budget Schedules.......................... 112 to 115
B. Public Law 99-177......................... 116 to 117
C. Justification............................. 118 to 121
D. Proposed Legislation...................... 122 to 123

VI. Reserve Training:

A. Budget Schedules.......................... 124 to 131
B. Public Law 99-177......................... 132 to 133
C. Justification............................. 134 to 136

VII. Research, Development, Test, and Evaluation:

A. Budget Schedules.......................... 137 to 143
B. Public Law 99-177......................... 144 to 145
C. Justification............................. 146 to 168

1987 COAST GUARD BUDGET ESTIMATES

CONTENTS (con't)

VIII. Pollution Fund.................................. 169 to 171
A. Public Law 99-177........................... 172 to 174

IX. Offshore Oil Pollution and Compensation Fund.. 175 to 180
A. Public Law 99-177........................... 181 to 184

X. Deepwater Port Liability Fund.................. 185 to 189
A. Public Law 99-177........................... 190 to 193

XI. Supply Fund.................................... 194 to 195

XII. Yard Fund...................................... 196 to 199

XIII. Boat Safety Account

A. Budget Schedules............................ 200 to 205
B. Public Law 99-177........................... 206 to 208
C. Proposed Legislation........................ 209 to 210

XIV. Gift Fund...................................... 211 to 213

XV. Miscellaneous Trust Fund....................... 214 to 216

XVII. Allocations.................................... 217

XVIII. Supplementary Data............................. 218 to 237

GENERAL STATEMENT

The FY 1987 Coast Guard budget reflects the national concern for budget restraint while still supporting vital programs such as defense readiness, drug law enforcement, and maritime safety. Major areas of emphasis are highlighted below:

Management Initiatives

During FY 1987, the Coast Guard will continue contracting out to the private sector where feasible. This action supports efforts to shift functions to the private sector when such contracting will result in no degradation of service and at an overall savings to the Government. The budget reflects a return to the Coast Guard's budget base of the fixed costs associated with polar icebreaking operations. It also restores the defense readiness program to the Coast Guard's budget base. This program was funded by the Department of Defense, Navy, Operations and Maintenance, in 1986.

Modernization and Improvement of Capital Plant

During FY 1987, two new 270-foot medium endurance cutters will begin operations. These ships will be multi-mission, flight deck-equipped cutters used for enforcement of laws and treaties, search and rescue, and defense readiness. By the end of FY 1987, ten of the scheduled thirteen of these cutters will be delivered. This budget, together with $190 million appropriated to the Navy in FY 1986 for Coastal Defense Augmentation, will provide for the continued renovation of both the 210-foot medium endurance and the 378-foot high endurance classes of cutters. Seventy-eight of the ninety-six HH-65A Short Range Recovery (SSR) helicopters are to be delivered by the end of FY 1987. Five new 110-foot patrol (WPB) boats will begin operation. Looking to the future, FY 1987 funds will be used to buy a prototype of a patrol boat for a major replacement program. Renovation and replacement of obsolescent shore facilities will also continue. Emphasis is placed on procurements which will increase the productivity of aircraft and vessels.

Coast Guard Reserve

This budget will allow an increase of 500 members in the Selective Reserve to bring the strength level to 13,000 members.

Boat Safety Account

This budget includes $45 million in funding for the Boat Safety Account from the Aquatic Resources Trust Fund. Legislation is submitted to derive an additional $15 million from the Account for Coast Guard Operating Expenses, for a total of $30 million. $15 million will be available until expended for State recreational boating safety programs.

DEPARTMENT _ ANSPORTATION

U.S. Coast Guard
RESOURCE SUMMARY -- FINANCING (BUDGET AUTHORITY)
($ in thousands)

	BUDGET AUTHORITY			PROGRAM LEVEL			OUTLAYS		
	1985	1986	1987	1985	1986	1987	1985	1986	1987
Operating Expenses (1)........	1,753,572	1,627,000	1,832,800	1,738,443	1,652,000	1,832,800	1,701,696	1,651,000	1,795,490
Reductions Public Law 99-177.	...	-69,961	...	...	-69,961	...	...	-58,420	-11,541
Acquisition, Construction, and Improvements....................	374,200	217,300	77,100	505,122	418,800	216,800	443,565	414,242	355,000
Reductions Public Law 99-177.	...	-9,344	...	...	-9,344	...	...	-1,327	-2,725
Alteration of Bridges..........	13,600	5,200	...	...	18,200	2,000	4,242	16,000	2,000
Reductions Public Law 99-177.	...	-226	...	...	-226	...	...	-47	-177
Retired Pay....................	330,800	351,800	373,510	326,788	351,800	373,510	298,781	350,800	372,422
Proposed Legislation..........	...	...	-10,000	...	...	-10,000	...	...	-9,900
Reductions Public Law 99-177.	...	-10,311	-9,510	...	-10,311	-9,510	...	-9,733	-10,000
Reserve Training..............	59,223	61,502	65,200	59,813	61,502	65,200	57,528	61,502	65,100
Reductions Public Law 99-177.	...	-2,645	...	...	-2,645	...	...	-2,333	-312
Research, Development, Test, and Evaluation................	23,000	21,000	20,500	18,958	25,000	22,000	18,369	24,000	21,700
Reductions Public Law 99-177.	...	-903	...	...	-903	...	...	-390	-513
Offshore Oil Pollution.........	1,000	1,000	1,000	379	1,000	1,000	375	1,000	1,000
Reductions Public Law 99-177.	...	-43	...	...	-43	...	...	-18	-25
Deepwater Port.................	1,000	1,000	1,000	1	1,000	1,000	1	1,000	1,000
Reductions Public Law 99-177.	...	-43	...	...	-43	...	...	-24	-19
Pollution Fund.................	7,390	7,000	7,000	4,447	7,000	7,000	3,885	7,000	7,000
Reductions Public Law 99-177.	...	-301	...	...	-301	...	...	-94	-207
Supply Fund....................	...	...	...	60	105	92	-1,478	100	61
Yard Fund......................	...	...	...	6,207	-1,893	18,161	12,191	-1,693	20,512
Boat Safety Account............	29,625	44,835	30,000	28,750	45,000	30,000	26,890	35,000	40,000
Proposed Legislation..........	...	...	15,000	...	...	15,000	...	...	15,000
Reductions Public Law 99-177.	...	-1,935	...	...	-1,935	...	...	-1,263	-672
Gift Fund......................	22	80	80	26	80	80	24	50	50
Miscellaneous Trust Fund......	...	...	...	-52	52	52	-94	25	25
TOTAL..........................	2,592,432	2,262,007	2,403,680	2,688,951	2,483,946	2,565,185	2,565,956	2,486,377	2,660,179

---

(1)FY 1985 excludes $190 million which was funded on a reimbursable basis by the Department of Defense, U.S. Navy, Operation and Maintenance for the Coast Guard's defense and military readiness missions. FY 1986 and FY 1987 exclude $15 million funded for drug law enforcement detachments on a reimbursable basis by the Department of Defense, U.S. Navy, Operations and Maintenance. Excludes amounts to be derived from the Boat Safety Account as follows: $15 million in FY 1985 and FY 1986; and $30 million in FY 1987. FY 1987 Program Level and Outlays include $19 million which was funded from unobligated balances, Pollution Fund, and $15 million which was funded from unobligated balances carried over from the FY 1985 Supplemental. Includes $25.5 million in FY 1987 for polar icebreaking activities previously financed on a reimbursable basis from National Science Foundation and Department of Defense, U.S. Navy, Operations and Maintenance.

Revised 14 February, 1986

DEPARTMENT OF TRANSPORTATION
U. S. Coast Guard
RESOURCE SUMMARY — STAFFING
($ in thousands)

DIRECT FUNDED - BY APPROPRIATION:	POSITIONS (FULL-TIME PERMANENT)			END-OF-YEAR EMPLOYMENT (FULL-TIME PERMANENT)			FULL-TIME EQUIVALENT		
	1995	1996	1997	1995	1996	1997	1995	1996	1997
Operating Expenses:									
Military	37,202	34,679	37,054	36,935	34,616	37,054	37,069	34,854	36,963
Civilian	4,796	4,349	4,549	4,542	4,119	4,324	4,665	4,265	4,449
Acquisition, Construction, and Improvements:									
Military	297	297	297	295	297	297	295	297	297
Civilian	224	224	226	219	219	224	197	219	219
Reserve Training:									
Military	608	599	599	599	599	599	606	599	599
Civilian	125	125	125	125	125	106	105	106	106
Research, Development, Test, and Evaluation:									
Military	85	79	79	79	79	79	79	79	79
Civilian	104	104	104	105	105	105	99	105	105
Offshore Oil Pollution:									
Civilian	7	7	0	7	7	0	7	7	0
Yard Fund:									
Military	24	24	24	24	24	24	24	24	24
Civilian	654	654	654	642	632	632	626	632	632
SUBTOTAL DIRECT FUNDED:									
Military	38,216	35,678	38,053	37,932	35,615	38,053	38,073	35,853	37,962
Civilian	5,910	5,461	5,658	5,636	5,205	5,389	5,699	5,312	5,509
REIMBURSEMENTS:									
Operating Expenses: (1)									
Military	663	3,356	599	663	3,356	599	641	3,336	599
Civilian	20	261	20	19	260	19	18	259	18
SUBTOTAL - Military.	663	3,356	599	663	3,356	599	641	3,336	599
SUBTOTAL - Civilian.	20	261	20	19	260	19	18	259	18
TOTAL - Military	38,879	39,034	38,652	38,595	38,971	38,652	38,714	39,189	38,541
TOTAL - Civilian	5,930	5,722	5,678	5,655	5,463	5,408	5,717	5,571	5,527

FTE CIVILIAN:
Excludes Youth Opportunity Full-Time Equivalent employment (FY 1995, 106; FY 1996, 75; and FY 1997, 75).

(1)The FY 1996 estimate for staffing resources for Operating Expenses, Reimbursements, includes [illegible] military and [illegible] civilian personnel (FTP, EOY, and FTE) associated with [illegible] million which was funded on a reimbursable basis by the Department of Defense, U.S. Navy, Operation and Maintenance for the Coast Guard's defense and military readiness missions.

1987 COAST GUARD BUDGET SUMMARY
(dollars in thousands)

Appropriation	Category	1985 Actual	1986 Estimate	1987 Estimate
Existing legislation:				
Operating expenses	Appropriation	1,753,572	1,627,000	1,832,800
	Outlays	1,701,686	1,651,000	1,795,400
	Military Positions	37,865	37,995	37,653
	Civilian Positions	4,818	4,610	4,569
Acquisition, construction, and improvements	Appropriation	374,200	217,300	77,100
	Outlays	443,565	414,242	355,000
	Military Positions	297	297	297
	Civilian Positions	224	224	228
Alteration of bridges	Appropriation	13,600	5,200	...
	Outlays	4,242	16,000	2,000
Retired pay	Appropriation	330,800	351,800	373,510
	Outlays	298,781	350,800	372,422
Reserve training	Appropriation	59,223	61,502	65,200
	Outlays	57,529	61,502	65,100
	Military Positions	608	599	599
	Civilian Positions	123	123	123
Research, development, test and evaluation	Appropriation	23,000	21,000	20,500
	Outlays	18,369	24,000	21,700
	Military Positions	85	79	79
	Civilian Positions	104	104	104
Boat safety account	Appropriation	28,625	44,835	30,000
	Outlays	26,880	35,000	40,000
Pollution fund (current/ permanent, special fund	Appropriation	7,390	7,000	7,000
	Outlays	3,885	7,000	7,000
Offshore oil pollution compensation fund (definite/ indefinite, special funds)	Appropriation	1,000	1,000	1,000
	Outlays	375	1,000	1,000
	Civilian Positions	7	7	...
Deepwater port liability fund (definite/indefinite, special funds)	Appropriation	1,000	1,000	1,000
	Outlays	1	1,000	1,000
Coast Guard supply fund	Outlays	-1,478	100	61
Coast Guard yard fund	Outlays	12,191	-1,693	20,512
	Military Positions	24	24	24
	Civilian Positions	654	654	654
Coast Guard general gift fund (permanent, indefinite)	Appropriation	22	80	80
	Outlays	24	50	50
Miscellaneous trust revolving funds	Outlays	-94	25	25
Subtotal	Appropriation	2,592,432	2,337,717	2,408,190
	Outlays	2,565,956	2,560,026	2,681,270
	Military Positions	38,879	38,994	38,652
	Civilian Positions	5,930	5,722	5,678
Proposed Legislation, Reductions P.L. 99-177 (details next page)	Appropriation	...	-95,710	-4,510
	Outlays	...	-73,649	-21,091
Total	Appropriation	2,592,432	2,242,007	2,403,680
	Outlays	2,565,956	2,486,377	2,660,179
	Military Positions	38,879	38,994	38,652
	Civilian Positions	5,930	5,722	5,678

1/ Adjusted for transfers.
2/ Includes reimbursable positions.

Revised 14 February, 1986

1987 COAST GUARD BUDGET SUMMARY (cont.)

Proposed legislation:				
Retired pay	Appropriation	...	...	-10,000
	Outlays	...	...	-9,900
Boat safety account	Appropriation	...	...	15,000
	Outlays	...	...	15,000
Reductions P.L. 99-177:				
Operating expenses	Appropriation	...	-69,961	...
	Outlays	...	-58,420	-11,541
Acquisition, construction, and improvements	Appropriation	...	-9,366	...
	Outlays	...	-1,327	-2,725
Alteration of bridges	Appropriation	...	-224	...
	Outlays	...	-47	-177
Retired pay	Appropriation	...	-10,311	-9,510
	Outlays	...	-9,733	-10,000
Reserve training	Appropriation	...	-2,645	...
	Outlays	...	-2,333	-312
Research, development, test, and evaluation	Appropriation	...	-903	...
	Outlays	...	-390	-513
Offshore oil pollution	Appropriation	...	-43	...
	Outlays	...	-18	-25
Deepwater port	Appropriation	...	-43	...
	Outlays	...	-24	-19
Polllution fund	Appropriation	...	-301	...
	Outlays	...	-94	-207
Boat safety account	Appropriation	...	-1,935	...
	Outlays	...	-1,263	-672
Proposed Legislation, Reductions P.L. 99-177	Appropriation	...	-95,710	-4,510
	Outlays	...	-73,649	-21,091

MILITARY PERSONNEL SUMMARY ALL APPROPRIATIONS—ACTIVE FORCE
Average Numbers - Full-time Equivalent

1985	Commissioned	PHS	Warrant	Enlisted	Cadets	Total
Direct:						
Operating expenses	4,794	150	1,311	30,070	724	37,049
Acquisition, construction, and improvements	147	...	49	99	...	295
Reserve training	111	...	60	455	...	626
Research, development, test, and evaluation	52	...	9	18	...	79
Yard fund	9	...	3	12	...	24
Subtotal	5,113	150	1,432	30,654	724	38,073
Reimbursable:						
Operating expenses:						
Department of Transportation	6	...	...	5	...	11
Other	82	...	21	527	...	630
Subtotal	88	...	21	532	...	641
Total	5,201	150	1,453	31,186	724	38,714
1986						
Direct:						
Operating expenses	4,303	156	1,117	28,468	790	34,834
Acquisition, construction, and improvements	148	...	49	100	...	297
Reserve training	109	...	39	451	...	599
Research, development, test, and evaluation	51	...	9	19	...	79
Yard fund	9	...	3	12	...	24
Subtotal	4,620	156	1,217	29,050	790	35,833
Reimbursable:						
Operating expenses:						
Department of Transportation	6	...	...	5	...	11
Other	671	...	234	2,440	...	3,345
Subtotal	677	...	234	2,445	...	3,356
Total	5,297	156	1,451	31,495	790	39,189
1987						
Direct:						
Operating expenses	4,584	155	1,300	30,114	790	36,943
Acquisition, construction, and improvements	149	...	47	101	...	297
Reserve training	109	...	39	451	...	599
Research, development, test, and evaluation	52	...	8	19	...	79
Yard fund	9	...	3	12	...	24
Subtotal	4,903	155	1,397	30,697	790	37,942
Reimbursable:						
Operating expenses:						
Department of Transportation	6	...	...	5	...	11
Other	78	...	20	490	...	588
Subtotal	84	...	20	495	...	599
Total	4,987	155	1,417	31,192	790	38,541

MILITARY PERSONNEL SUMMARY ALL APPROPRIATIONS--ACTIVE FORCES
Year-End Numbers

1985	Commissioned	[illegible]	Warrant	Enlisted	Cadets	Total
Direct:						
Operating expenses	4,736	157	1,340	29,971	733	36,937
Acquisition, construction, and improvements	146	...	48	99	...	293
Reserve training	109	...	39	451	...	599
Research, development, test, and evaluation	52	...	9	18	...	79
Yard fund	9	...	3	12	...	24
Subtotal	5,052	157	1,439	30,551	733	37,932
Reimbursable:						
Operating expenses:						
Department of Transportation	13	...	...	6	...	19
Other	94	...	20	530	...	644
Subtotal	107	...	20	536	...	663
Total	5,159	157	1,459	31,087	733	38,595

1986	Commissioned	[illegible]	Warrant	Enlisted	Cadets	Total
Direct:						
Operating expenses	4,266	155	1,105	28,300	790	34,616
Acquisition, construction, and improvements	148	...	49	100	...	297
Reserve training	109	...	39	451	...	599
Research, development, test, and evaluation	51	...	9	19	...	79
Yard fund	9	...	3	12	...	24
Subtotal	4,583	155	1,205	28,882	790	35,615
Reimbursable:						
Operating expenses:						
Department of Transportation	13	...	...	6	...	19
Other	614	...	240	2483	...	3,337
Subtotal	627	...	240	2,489	...	3,356
Total	5,210	155	1,445	31,371	790	38,971

1987	Commissioned	[illegible]	Warrant	Enlisted	Cadets	Total
Direct:						
Operating expenses	4,748	155	1,331	30,030	790	37,054
Acquisition, construction, and improvements	145	...	47	105	...	297
Reserve training	109	...	39	451	...	599
Research, development, test, and evaluation	52	...	8	19	...	79
Yard fund	9	...	3	12	...	24
Subtotal	5,063	155	1,428	30,617	790	38,053
Reimbursable:						
Operating expenses:						
Department of Transportation	10	...	0	9	...	19
Other	76	...	20	486	...	580
Subtotal	86	...	20	495	...	599
Total	5,147	155	1,448	31,112	790	38,652

TABLE 8

FY 1987
WORKING CAPITAL FUND BUDGET

Costs of services to be provided by the Office of the Secretary Working Capital Fund in 1987 is estimated to be $16,926,700.

8

ADCOM
1/15/85

DEPARTMENT OF TRANSPORTATION

Coast Guard

CONSULTANT SERVICES

Within the definition of OMB Circular A-120 and as required by Section 1114, P.L. 97-258 of September 13, 1982, 31 U.S.C. 1114, this budget provides $191,000 in the Operating Expenses appropriation for Consultant Services in FY 1987.

Consultant Services activities for the Coast Guard consist of advisory committees.

The estimated cost of advisory committees in FY 1986 is $190,000. Advisory committees are funded from the Operating Expenses appropriation.

ADCOM3

DEPARTMENT OF TRANSPORTATION
COAST GUARD
CHEMICAL TRANSPORTATION ADVISORY COMMITTEE

1. Name: Chemical Transportation Advisory Committee

2. Statutory or Other Derivation: P.L. 92-463, Federal Advisory Committee Act

3. Mission: Provide information concerning operations and daily activities occurring in the transportation of hazardous materials.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 25
   Filled - 25

5. Qualifications Required (if any): Knowledge of chemical transportation industry safety practices, shipping plans, economic impacts, and technical aspects.

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) - None
   All other - None

7. Full or Part-time Professional 1/
   Staff (A/O 10/1/85):
   Number - 1
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other

8. List two major accomplishments:

   FY 1984
   (1) Recommended the development of concentration levels for the safe carriage of liquefied gas mixtures.
   (2) Recommended regulations implementing Annex II of MARPOL 73/78 and issues relating to the occupational safety and health of Coast Guard and shipboard personnel.

   FY 1985
   (1) This committee did not meet in FY 1985.

	Fiscal Year (in thousands of dollars)						
	1981	1982	1983	1984	1985	1986(est.)	1987(est.)
9. Number of Meetings (by fiscal year):	1	1	1	1	0	1	1
10. Total Cost of Committee (by fiscal year):	40	41	43	45	0	15	15

1/ Committee has no full-time staff personnel. Coast Guard contributes administrative workyears in support of committee. .23 workyears per fiscal year is estimated to be required.

ADD046

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD ACADEMY ADVISORY COMMITTEE

1. Name: Coast Guard Academy Advisory Committee

2. Statutory or Other Derivation: 14 U.S.C. 193

3. Mission: Evaluate the course of instruction of the Coast Guard Academy

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 7
   Filled - 7

5. Qualifications Required (if any): Knowledge and experience to provide guidance in academic programs, with regard to the requirements of the Coast Guard Academy.

6. Allowed Expenses (A/O 10/1/85):
   Wages - no wages (p/d or p/a) Per diem and travel, no wages
   All other - None

7. Full or Part-time Professional 1/
   Staff (A/O 10/1/85):
   Number - 0
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:
   FY 1984
   (1) Recommended maintaining superior accreditation in the Engineering Majors.
   (2) Recommended the library facilities' use be increased based on the Accreditation Board for Engineering and Technology report.
   FY 1985
   (1) Recommended the timely completion of the Ship Control and Navigation Training System (SCANTS)
   (2) Recommended that the Faculty Senate communicate effectively its views on the academic training of the Cadet Corps.

	Fiscal Year (in thousands of dollars) 1981	1982	1983	1984	1985	1986 est.	1987 est.
9. Number of Meetings (by fiscal year):	2	2	2	2	2	2	2
10. Total Cost of Committee (by fiscal year):	7	11	7	11	10	13	14

1/ Committee has no staff personnel. Coast Guard contributes administrative workyears in support of committee. Estimated to be required are less than 0.2 workyears.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
HOUSTON/GALVESTON NAVIGATION SAFETY ADVISORY COMMITTEE

1. Name: Houston/Galveston Navigation Safety Advisory Committee

2. Statutory or Other Derivation: P.L. 92-463, Federal Advisory Committee Act.

3. Mission: Provide consultation and advice on the continued development and operation of the Houston/Galveston Vessel Traffic Service and other areas of maritime safety.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 17
   Filled - 16

5. Qualifications Required (if any): Particular expertise, knowledge and experience regarding navigation safety in the Houston/Galveston area.

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) - None
   All other - None

7. Full or Part-time Professional 1/
   Staff (A/O 10/1/85):
   Number - 1
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other

8. List two major accomplishments:

   FY 1984
   (1) Assisted Coast Guard in the evaluation of the Galveston Traffic Separation Scheme.
   (2) Provided input on the Coast Guard mitigation efforts and waterway management measures for an oil spill in the Houston area.
   FY 1985
   (1) Recommended the addition of a second Radar Transponder (RACON) to aid vessels at the Galveston approach.
   (2) Recommended the establishment of auxiliary channels in two high-vessel-traffic areas in the Houston/Galveston Ship Channel.

	Fiscal Year (in thousands of dollars)						
	1981	1982	1983	1984	1985	1986 est.	1987 est.
9. Number of Meetings (by fiscal year):	0	0	4	4	7	4	4
10. Total Cost of Committee (by fiscal year):	...	...	1	7	6	7	7

1/ Committee has no full-time staff personnel. Coast Guard contributes administrative workyears in support of committee. Estimated to be required are less than 0.5 workyears.

ADOOM7

DEPARTMENT OF TRANSPORTATION
COAST GUARD
NATIONAL BOATING SAFETY ADVISORY COUNCIL

1. Name: National Boating Safety Advisory Council

2. Statutory or Other Derivation: P.L. 92-75, Federal Boat Safety Act of 1971, as amended

3. Mission: Advise the Secretary of Transportation on policy concerning recreational boating safety; also consider the need, reasonableness, appropriateness and contribution to boating safety of regulations and standards.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 21
   Filled - 21

5. Qualifications Required (if any): Particular expertise, knowledge and experience in boating safety

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) Per diem and travel, no wages.
   All other -

7. Full or Part-time Professional 1/
   Staff (A/O 10/1/85):
   Number - 1
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:

   FY 1984
   (1) Researched and tested various experimental types of Personal Flotation Devices (PFD's) and recommended approval of a new more wearable Hybrid PFD which will utilize both inherent, permanent buoyancy and inflation, hopefully increasing the wear rate of PFD's.
   (2) Recommended the creation of a national depository to serve as a clearinghouse and distribution point for boating safety educational materials.

   FY 1985
   (1) Recommended that the National Electrical Code be changed specifically on the heights and clearance of high tension wires passing over navigable waters and parking areas where boats are rigged.
   (2) Recommended to establish a national boating safety Hot-Line for a one year trial period to allow consumers to obtain defect recall information for various boats and request boating safety pamphlets via a toll-free 800 number.

Fiscal Year
(in thousands of dollars)

	1981	1982	1983	1984	1985	1986 est.	1987 est.
9. Number of Meetings (by fiscal year):	3	3	2	2	2	2	2
10. Total Cost of Committee (by fiscal year):	61	54	47	44	47	47	47

1/ Committee has no full-time staff personnel. Coast Guard contributes administrative workyears in support of committee. 0,65 workyears are estimated to be required.

ADCOM6

DEPARTMENT OF TRANSPORTATION
COAST GUARD
LOWER MISSISSIPPI WATERWAY SAFETY ADVISORY COMMITTEE

1. Name: Lower Mississippi Waterway Safety Advisory Committee

2. Statutory or Other Derivation: P.L. 92-463, Federal Advisory Committee Act

3. Mission: Furnish consultation, local expertise, and advise on a wide range of matters regarding all facets of navigation safety for the Lower Mississippi River area.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 25
   Filled - 21

5. Qualifications Required (if any): Particular expertise, knowledge and experience regarding Lower Mississippi Waterway navigation and safety.

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) None
   All other - None

7. Full or Part-time Professional 1/
   Staff (A/O 10/1/85)
   Number - 1

   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:

   FY 1984
   (1) The Committee has outlined and identified a number of topics for investigation and discussion, these topics include communication, waterway management and environmental safety.
   (2) Made numerous pertinent recommendations to enhance navigation safety on the Lower Mississippi River.
   FY 1985
   (1) Recommended improved communications on the Lower Mississippi River.
   (2) Recommended increased capabilities that the users would like to see in the New Orleans Vessel Traffic Service.

Fiscal Year
(in thousands of dollars)

	1981	1982	1983	1984	1985	1986 est.	1987 est.
9. Number of Meetings (by fiscal year):	0	0	0	3	4	3	4
10. Total Cost of Committee (by fiscal year):	...	...	...	6	14	14	14

1/ Committee has no full-time staff personnel. Coast Guard contributes administrative workyears in support of committee. Estimated to be required are less than 0.4 workyears.

ADCOM8

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RULES OF THE ROAD ADVISORY COUNCIL

1. Name: Rules of the Road Advisory Council (RORAC)

2. Statutory or Other Derivation: P.L. 96-591; 33 U.S.C. 2073

3. Mission: Advise, consult with, and make recommendations to the Commandant on matters relating to any major proposals for changes to the Inland Navigation rules; may recommend changes to the Inland Rules and International Regulations.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 21
   Filled - 21

5. Qualifications Required (if any): General classes of persons are listed in the Inland Navigational Rules Act (i.e. representatives of professional/recreational operators).

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) - Travel and per diem, no wages.
   All other - None

7. Full or Part-time Professional 1/
   Staff (A/O 10/1/85):
   Number - 0
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:

FY1984
(1) Recommended amendment of Inland Rule 14 (Narrow Channel Rule).
(2) Forwarded petition to the Federal Communication Commission (FCC) on matters relating to the operation of Channel
FY1985
(1) Recommended that the Coast Guard grant a permanent exemption from the COLREG Vertical Sector Light Requirements for Unmanned Barges.
(2) Recommended a change in wording to Inland Rules 3 and 27. This recommendation will be before the Congress in 1986.

Fiscal Year
(in thousands of dollars)

	1981	1982	1983	1984	1985	1986 est.	1987 est.
9. Number of Meetings (by fiscal year):	0	1	2	3	1	3	3
10. Total Cost of Committee (by fiscal year):	...	...	44	46	27	58	58

1/ Committee has no staff personnel. Coast Guard contributes administrative workyears in support of committee. Workyears estimated to be required are less than 0.5.

AD0049

DEPARTMENT OF TRANSPORTATION
COAST GUARD
NEW YORK HARBOR TRAFFIC MANAGEMENT ADVISORY COMMITTEE

1. Name: New York Harbor Traffic Management Advisory Committee

2. Statutory or Other Derivation: P.L. 92-463 Federal Advisory Committee Act

3. Mission: Furnish consultation, local expertise and advise on a wide range of matters regarding all facets of traffic management and navigation safety for the Port of New York and New Jersey.

4. Number of Members (A/O 10/1/85): 17
   Authorized (by Legislation or other)
   Filled - 17
5. Qualifications Required (if any): Particular knowledge, experience and expertise regarding traffic management and maritime safety in the New York/New Jersey Port area.

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a)
   All other

7. Full or Part-time Professional
   Staff (A/O 10/1/85):
   New committee; data is not available to estimate administrative workyear requirements.

   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:
   FY 1984
   The Committee was not in existence.

	Fiscal Year (in thousands of dollars) 1985	 1986 est.	 1987 est.
9. Number of Meetings (by fiscal year):	0	4	4
10. Total Cost of Committee (by fiscal year):	...	5	5

ADCOM10

DEPARTMENT OF TRANSPORTATION
COAST GUARD
TOWING SAFETY ADVISORY COMMITTEE

1. Name: Towing Safety Advisory Committee

2. Statutory or Other Derivation: P.L. 96-380

3. Mission: Advise consult with, and make recommendations to the Secretary of the department in which Coast Guard is operating on matters relating to shallow draft inland and coastal waterway navigation and towing safety.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) 16
   Filled - 16

5. Qualifications Required (if any): Particular expertise, knowledge, and experience regarding shallow-draft inland and coastal waterway navigation and towing safety.

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) - Travel and per diem, no wages.
   All other - None

7. Full or Part-time Professional 1/
   Staff (A/O 10/1/85):
   Number - 1
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:
   FY 1984
   (1) Recommended regulations concerning Radar Observer Qualifications
   (2) Recommended regulations covering Raked Bow Barge Designs
   FY 1985
   (1) Recommended Drydocking intervals (CGD 84-024).
   (2) Recommended regulation changes concerning Bridge-to-Bridge Radiotelephone Communications.

	Fiscal Year (in thousands of dollars)						
	1981	1982	1983	1984	1985	1986 est.	1987 est.
9. Number of Meetings (by fiscal year):	2	32	3	3	3	3	3
10. Total Cost of Committee (by fiscal year):	23	18	24	25	30	31	31

1/ Committee has no staff personnel. Coast Guard contributes administrative workyears in support of committee. 1.35 workyears are estimated to be required.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
SHIP STRUCTURE COMMITTEE

1. Name: Ship Structure Committee

2. Statutory or Other Derivation: Federal Advisory Committee Act, P.L. 92-463

3. Mission: Conduct an aggressive research program to improve the design materials, and construction of the full structure of ships and other marine structures. Increase the safe and economic operation of all marine structures.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 0
   Filled - 0

5. Qualifications Required (if any): Committee ex-officio members are: Commandant, U. S. Coast Guard; Commander, Naval Sea Systems Command; Commander, Military Sealift Command; Maritime Administrator; President, American Bureau of Shipping; Director, Minerals Management Service. All members are concerned professionally with the safe and economic operation of marine structures.

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) - None
   All other - None

7. Full or Part-time Professional Staff (A/O 10/1/85):
   Number -
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:
   FY 1984
   (1) Published and disseminated the results of eight (8) research projects.
   (2) Planned the Research Program for FY 1985 and developed a long-range research program plan for the next 5 years.
   FY 1985
   (1) The Committee published and disseminated the results of four research projects.
   (2) Planned and developed a long-range research program through the year 2000.

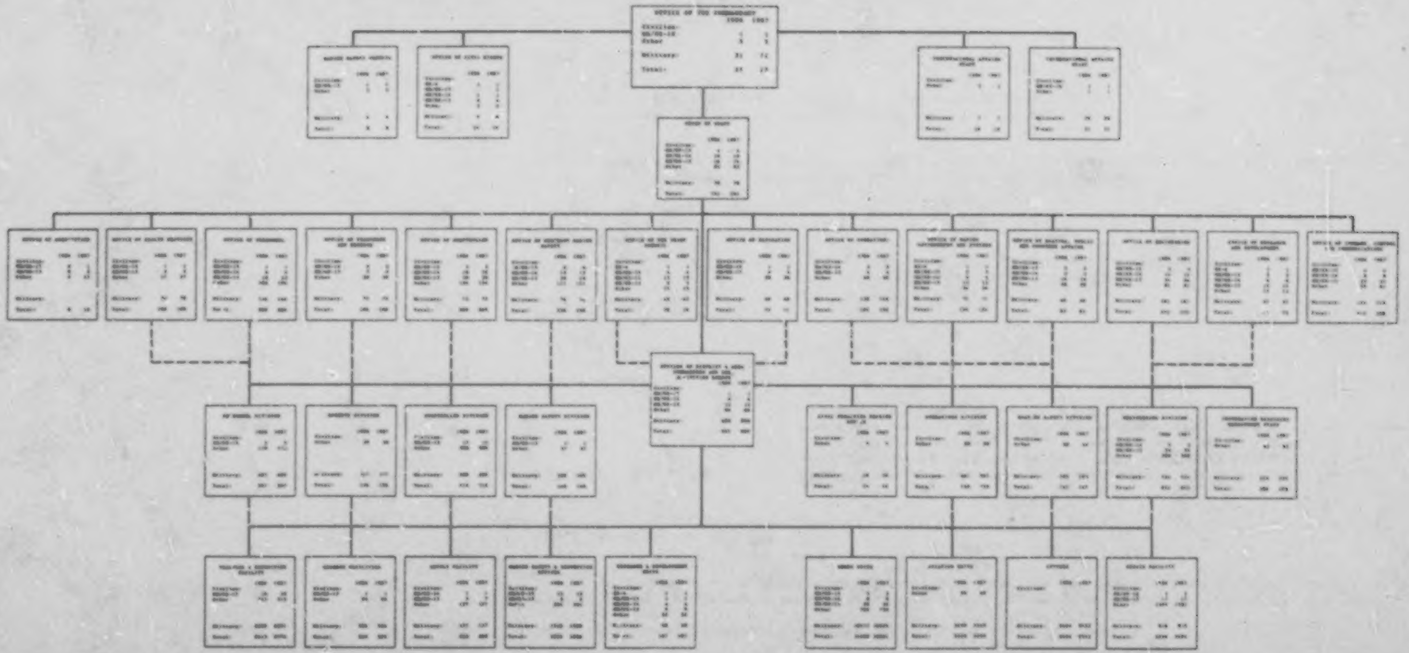
Fiscal Year
(in thousands of dollars)

	1981	1982	1983	1984	1985	1986 est. 1/	1987 est.
9. Number of Meetings (by fiscal year):	2	2	2	2	2	0	0
10. Total Cost of Committee (by fiscal year):	25	45	45	45	45	0	0

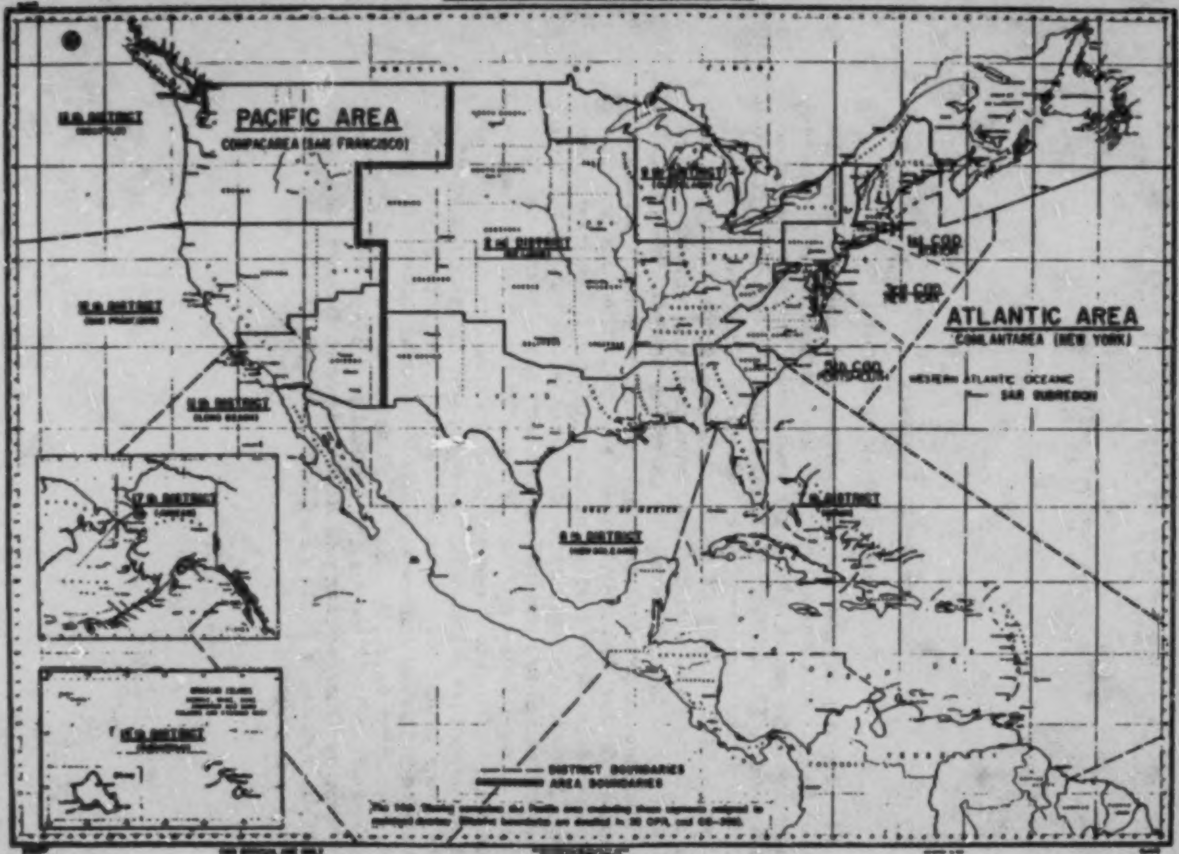
1/ On September 30, 1985 this committee was terminated as a Federal Advisory Committee.

SCHEDULE OF PERMANENT POSITIONS BY ORGANIZATION

FISCAL YEAR 1967



US COAST GUARD DISTRICTS


PACIFIC AREA
COMPACAREA (SAN FRANCISCO)
ATLANTIC AREA
COMLANTAREA (NEW YORK)
1st CGD
3rd CGD
5th CGD
PORTSMOUTH
WESTERN ATLANTIC OCEANIC
SAR SUBREGION
DISTRICT BOUNDARIES
AREA BOUNDARIES

DEPARTMENT OF TRANSPORTATION

COAST GUARD

Operating Expenses

(INCLUDING TRANSFER OF FUNDS)

For necessary expenses for the operation and maintenance of the Coast Guard, not otherwise provided for; purchase of not to exceed eight passenger motor vehicles for replacement only; and recreation and welfare, [$1,652,000,000] *$1,862,800,000*, [of which $10,000,000 shall be derived from unobligated balances of "Pollution fund" and] of which [$15,000,000] *$30,000,000* shall be expended from the Boat Safety Account: [*Provided*, That, notwithstanding any other provision of law, of the funds available under this head $789,800,000 shall be available for compensation and benefits of military personnel: *Provided further*, That, of the funds available under this head, not less than $328,000,000 shall be available for drug enforcement activities:] *Provided*, that the number of aircraft on hand at any one time shall not exceed two hundred and ten, exclusive of planes and parts stored to meet future attrition: *Provided further*, That none of the funds appropriated in this or any other Act shall be available for pay or administrative expenses in connection with shipping commissioners in the United States: *Provided further*, That none of the funds provided in this Act shall be available for expenses incurred for yacht documentation under 46 U.S.C. 12109 except to the extent fees are collected from yacht owners and credited to this appropriation. *(Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190; additional authorizing legislation to be proposed.)*

Standard Form 300
OE1

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Program and Financing (in thousands of dollars)

Identification code: 69-0201-0-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
Direct program:			
1. Search and rescue...............	385,909	387,153	388,929
2. Aids to navigation..............	362,350	366,908	370,157
3. Marine safety...................	114,901	117,033	119,516
4. Marine environmental protection.	112,594	112,541	114,142
5. Enforcement of laws and treaties	531,716	542,150	582,878
6. Ice operations..................	50,549	43,752	71,704
7. Defense readiness..............	99,523	...	101,450
8. Headquarters administration.....	95,901	97,463	99,024
Total direct program costs.....	1,753,443	1,667,000	1,847,800
Reimbursable program................	45,466	181,000	55,500
10.00 Total obligations................	1,798,908	1,848,000	1,903,300
Financing:			
Offsetting collections from:			
11.00 Federal funds...................	-43,268	-159,280	-48,840
13.00 Trust funds.....................	-15,000	-15,000	-15,000
14.00 Non-Federal sources.............	-2,198	-21,720	-6,660
21.40 Unobligated balance available, start of year.................	...	-15,000	...
22.40 Unobligated balance transferred, net..........................	...	-10,000	...
24.40 Unobligated balance available, end of year....................	15,000	...	...
25.00 Unobligated balance lapsing.....	129	...	...
39.00 Budget authority................	1,753,572	1,627,000	1,832,800

Standard Form 300
OE2

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Program and Financing (in thousands of dollars) p.2

Identification code: 69-0201-0-1-403	1985 actual	1986 estimate	1987 estimate
Budget authority:			
40.00 Appropriation....................	1,740,000	1,627,000	1,832,800
40.47 Portion applied to debt reduction	-203	...	...
42.00 Transferred from other accounts..	13,775	...	...
43.00 Appropriation (adjusted).........	1,753,572	1,627,000	1,832,800
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	1,738,443	1,652,000	1,832,800
72.40 Obligated balance, start of year.	298,371	315,373	316,373
74.40 Obligated balance, end of year...	-315,373	-316,373	-353,773
77.00 Adjustments in expired accounts..	-19,755	...	...
90.00 Outlays..........................	1,701,686	1,651,000	1,795,400

Note.-Includes $25,500 thousand in 1987 for polar icebreaking activities previously financed from (in thousands of dollars):

	1985	1986
National Science Foundation: United States Antarctic program....	13,800	13,900
Department of Defense: Operation and maintenance, Navy..................	10,500	10,700

COAST GUARD--Operating Expenses

PROGRAM AND PERFORMANCE

Funds for operating expenses represent more than two-thirds of the total Coast Guard program level. To carry out its unique duties as a peacetime operating agency and one of the military services, the Coast Guard employs multipurpose vessels, aircraft and shore units, strategically located along the coasts and inland waterways of the United States and in selected areas overseas. In 1987, search and rescue and enforcement of laws and treaties still account for the major portion of the budget. Amounts requested for the activities described below reflect the continued introduction into the operating forces of new equipment and capital facilities, including new medium endurance cutters, patrol vessels, and specialized law enforcement platforms. Although program increases are included for these new resources, they are partially offset by savings achieved through a reduction in older existing platforms. Additional savings will be achieved through continued management improvements, including productivity increases, improved efficiency of operations, and continued contracting out of support activities. The modest growth in the budget reflects built-in changes required by military pay raises, cost-of-living adjustments, and a return to the Coast Guard's budget base of the fixed costs associated with polar icebreaking operations.

1. Search and Rescue (SAR).--The Coast Guard maintains a nationwide system of boats, aircraft, cutters and rescue coordination centers on 24-hour alert, capable of responding to notice of a distress incident.

PERFORMANCE DATA

	1985 actual	1986 estimate	1987 estimate
Responses	70,062	70,780	71,440
Sorties	86,665	87,500	88,370
Time on Sorties (hours)	239,777	240,800	241,220
Lives saved	6,303	6,350	6,425
Persons otherwise assisted	136,341	137,680	139,020
Property saved ($ in thousands)	820,252	828,300	836,385
Value property assisted ($ in thousands)	2,277,977	2,300,375	2,322,780

2.Aids to Navigation (ATON).--A network of manned and unmanned aids to navigation is maintained along our coasts and on inland waterways to insure the safe passage of the mariner. Eight OMEGA stations, which are operated and funded to various levels by the seven host partner nations, provide navigational coverage to military and civilian ships and aircraft nearly worldwide. Loran C stations are operated in the United States and abroad to serve the needs of the armed services and marine and air commerce. Radiobeacons operated in the United States provide mariners with an all-weather, low user cost navigational system along our coasts and in the Great Lakes. Administrative control is exercised over the construction, maintenance, and operation of bridges across the navigable waters of the United States.

PERFORMANCE DATA

	1985 actual	1986 estimate	1987 estimate
- Federal floating aids................	23,816	24,500	24,500
- Federal fixed aids..................	22,712	22,500	22,500
- Private aids authorized.............	43,317	43,000	43,000
- Bridge permits and regulations issued.................	208	210	250

3.Marine Safety (MS).-- The Coast Guard reviews plans and specifications for the construction or alteration of merchant vessels; conducts periodic inspections; investigates casualties; and sets standards, procedures, and practices under which merchant marine personnel are licensed and regulated. The Coast Guard operates a boat safety standards program and provides boater information and support of the Coast Guard Auxiliary as well as the individual State boating safety programs.

PERFORMANCE DATA

	1985 actual	1986 estimate	1987 estimate
Commercial Vessel Safety:			
U.S. commercial vessels undergoing construction, average yearly totals	365	425	460
Seamen's document transactions......	30,000	32,000	33,000
Merchant marine investigations......	12,894	11,750	12,000
Seamen's license transactions.......	40,000	42,000	45,000
U. S. commercial vessels inspected..	40,387	43,500	47,000
Foreign flag vessels subject to SOLAS and U.S. safety requirements examined	3,874	3,300	2,850
Boating Safety:			
Factory visits/inspections..........	1,300	1,300	1,300
Defect campaigns....................	184	190	190
Potential units affected by campaigns	588,000	593,000	598,000
Persons enrolled in Auxiliary boating education courses..........	323,823	330,000	350,000
Courtesy marine examinations (auxiliary)........................	278,315	285,000	295,000

4.Marine Environmental Protection (MEP) .--Under various laws, international agreements and conventions the Coast Guard is charged with the prevention of damage to the marine environment, response to pollution incidents, and the enhancement of environmental quality. Also, under statutory requirements the Coast Guard must safeguard and secure U.S. ports and waterways.

PERFORMANCE DATA

	1985 actual	1986 estimate	1987 estimate
Environmental Protection:			
Oil and hazardous substances spills.	12,738	12,900	13,100
Cargo transfer operations monitored.	11,154	11,200	11,200
Oil pollution removal operations....	314	320	320
Aircraft Patrols (flight hours).....	3,226	3,000	2,750
Port Safety:			
Cargo vessels/barges boarded........	12,700	12,700	12,700
Waterfront facilities inspected.....	3,800	3,850	3,900
Harbor patrols (operating hours)...	57,378	44,000	44,000

5.Enforcement of Laws and Treaties (ELT).--Maritime enforcement of laws and treaties is accomplished by cutters and aircraft conducting patrols to enforce international agreements and Federal laws on the high seas and waters over which the U. S. exercises jurisdiction. Fisheries enforcement involves living marine resources, while general law enforcement concerns drug smuggling, illegal immigration, hijacking/theft of vessels and other unlawful activities. In 1987 the drug law enforcement program will continue to receive major emphasis.

PERFORMANCE DATA

	1985 actual	1986 estimate	1987 estimate
Cutter Operating Hours:			
- Fisheries enforcement..	67,451	64,000	63,000
- General law enforcement	208,988	210,000	217,500
Aircraft Flight Hours:			
- Fisheries enforcement..	8,650	8,950	9,350
- General law enforcement	26,117	30,400	31,850
Seizures - Vessels...................	186	230	250

6. Ice Operations (IO).--Polar ice operations are performed by icebreakers in support of programs of the Coast Guard and other agencies. In 1987 funding of the fixed costs of operating polar icebreakers is proposed to be transferred to the Coast Guard from the Navy and the National Science Foundation. Domestic ice operations are performed on the navigable waters of the United States. Also included are certain marine science activities.

PERFORMANCE DATA

	1985 actual	1986 estimate	1987 estimate
Polar Ice Operations:			
Icebreaker deployment days.........	731	770	770
Domestic Ice Operations:			
Cutter operating hours.............	3,113	4,400	4,400
Aircraft reconnaissance operating hours....................	153	250	250
Vessels assisted...................	394	440	440
International Ice Patrol:			
Aircraft hours.....................	541	500	500

7. Defense Readiness (DR).-- The Coast Guard operates as a service in the Navy in time of war or national emergency at the direction of the President. During peacetime, an effective state of military preparedness is maintained through individual and unit training, by joint navel training exercises, and by Coast Guard single and multiship operations.

PERFORMANCE DATA

	1985 actual	1986 estimate	1987 estimate
Cutters participating in Naval fleet. training exercises.................	38	45	45
Cutter days..........................	383	500	500
Joint service or Coast Guard exercises	63	60	60
Units participating..................	234	220	220

8. Headquarters Administration.--Headquarters administration provides funding for administrative services at the Headquarters location of the Coast Guard, including executive direction; budget, planning and policy; command, control, communication, and operations; financial management; legal; engineering; civil rights; and personnel and health services for the Coast Guard.

Capehart Family Housing Indebtedness.-- The following schedule shows the status of the indebtedness assumed from the Department of Defense for the transfer of family housing units for assignment as public quarters. The payment for 1985 completed the indebtedness repayment and concluded the debt reduction program.

STATUS OF INDEBTEDNESS
(In thousands of dollars)

	1985 actual	1986 estimate	1987 estimate
Total debt incurred.......	3,556	...	...
Debt retirement:			
(a) Prior years...........	-3,353	...	...
(b) Current year..........	-203	...	...
Cumulative total....	-3,356	...	...
Remaining debt, end of year.	...	...	...

Standard Form 300
OE3

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Object Classification (in thousands of dollars)

Identification code: 69-0201-0-1-403		1985 actual	1986 estimate	1987 estimate
Direct obligations:				
	Personnel compensation:			
11.1	Full-time permanent positions....	114,262	103,475	110,317
11.3	Positions other than full-time permanent........................	3,886	3,766	3,746
11.5	Other personnel compensation.....	3,078	2,988	2,973
11.7	Military personnel...............	728,721	715,706	766,628
11.8	Special personal services payments..........................	1,356	1,402	1,408
	Total personnel compensation....	851,303	827,337	885,072
	Personnel benefits:			
12.1	Civilian.......................	18,246	15,802	16,755
12.2	Military personnel.............	45,405	49,185	52,684
21.0	Travel and transportation of persons.........................	37,594	38,540	41,205
22.0	Transportation of things.........	30,611	29,418	31,695
23.1	Standard level user charges......	21,424	21,875	21,629
23.2	Rental payments to others........	20,359	24,079	24,079
23.3	Communications, utilities and miscellaneous charges...........	71,157	66,859	71,786
24.0	Printing and reproduction........	4.813	4,823	4,833
25.0	Other services...................	303,490	274,828	315,986
26.0	Supplies and materials...........	289,066	257,538	321,552
31.0	Equipment........................	54,505	51,212	54,986
32.0	Lands and structures.............	3,312	3,327	3,342
42.0	Insurance claims and indemnities.	1,801	1,809	1,817
43.0	Interest and dividends...........	357	368	379
	Subtotal direct obligations....	1,753,443	1,667,000	1,847,800

Standard Form 300
OE4

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Object Classification (in thousands of dollars) p. 2

Identification code: 69-0201-0-1-403		1985 actual	1986 estimate	1987 estimate
Reimbursable obligations:				
	Personnel compensation:			
11.1	Full-time permanent positions....	399	5,798	407
11.7	Military personnel...............	12,088	66,158	11,928
	Total personnel compensation....	12,487	71,956	12,335
	Personnel benefits:			
12.1	Civilian.........................	61	886	63
12.2	Military personnel.............	704	3,903	704
21.0	Travel and transportation of persons.........................	1,780	4,511	1,790
22.0	Transportation of things.........	670	1,706	680
23.3	Communications, utilities and miscellaneous charges..........	1,992	9,613	1,942
24.0	Printing and reproduction........	128	329	132
25.0	Other services...................	14,024	52,980	21,207
26.0	Supplies and materials...........	9,716	24,781	11,860
31.0	Equipment........................	3,863	10,172	4,716
42.0	Insurance claims and indemnities.	30	152	60
43.0	Interest and dividends...........	11	11	11
	Subtotal, reimbursable obligations...................	45,466	181,000	55,500
99.0	Total obligations...............	1,798,908	1,848,000	1,903,300

Standard Form 300
OE6

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES

Personnel Summary

Identification code: 69-0201-0-1-403	1985 actual	1986 estimate	1987 estimate
Direct:			
Military:			
Total number of full-time permanent positions	37,202	34,639	37,054
Total compensable workyears:			
Full-time equivalent employment	37,069	34,834	36,943
Civilian:			
Total number of full-time permanent positions	4,798	4,349	4,549
Total compensable workyears:			
Full-time equivalent employment	4,771	4,320	4,524
Full-time equivalent of overtime and holiday hours	92	75	75

Standard Form 300
OE7

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES

Personnel Summary (p. 2)

Identification code: 69-0201-0-1-403	1985 actual	1986 estimate	1987 estimate
Reimbursable:			
Military:			
Total number of full-time permanent positions........................	563	3,356	599
Total compensable workyears:			
Full-time equivalent employment..	641	3,356	599
Civilian:			
Total number of full-time permanent positions........................	20	261	20
Total compensable workyears:			
Full-time equivalent employment..	18	259	18

COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1987 1/
(dollars in thousands)

Appropriation: Operating Expenses

Program by Activities:	1986 Estimate Enacted Full-time perm. pos.	1986 Estimate Enacted Appro- priation	1986 Estimate After sequestration Full-time perm. pos	1986 Estimate After sequestration Appro- priation	1987 Estimate Full-time perm. pos.	1987 Estimate Appro- priation	Increase (+) or decrease (-) for 1987 Full-time perm. pos	Increase (+) or decrease (-) for 1987 Appro- priation
1. Search and rescue	9,825	$399,606	9,825	$382,453	9,694	$415,162	-131	$ 32,729
2. Aids to navigation	8,409	378,509	8,409	362,344	8,284	389,838	-125	27,494
3. Marine safety	3,132	121,021	3,132	115,848	3,098	124,193	-34	8,345
4. Marine environmental protection	2,882	116,500	2,882	111,523	2,845	118,609	-37	7,086
5. Enforcement of laws and treaties	14,414	562,329	14,414	537,930	14,240	605,699	-174	67,759
6. Ice operations	1,571	49,035	1,571	46,941	1,690	74,510	+119	27,569
7. Military readiness	2,372	...	2,372	...	2,371	104,779	-1	104,779
8. Headquarters administration	(1,733)	(97,463)	(1,733)	(93,272)	(1,761)	(99,024)	(28)	(5,752)
Total direct costs	42,605	1,627,000	42,605	1,557,039	42,222	1,832,800	-383	275,761
Unobligated balance lapsing	XXX	...	XXX	...	XXX	...	XXX	...
Total appropriation or estimate	42,605	1,627,000	42,605	1,557,039	42,222	1,832,800	-383	275,761
(Military)	(37,995)	XXX	(37,995)	XXX	(37,653)	XXX	(-342)	XXX
(Civilian)	(4,610)	XXX	(4,610)	XXX	(4,569)	XXX	(-41)	XXX

1/ Full-time positions including reimbursable positions.

Summary Explanation of Changes Requested for Fiscal Year 1987

SUMMARY BY BUDGET CATEGORY	POSITIONS Military	POSITIONS Classified	POSITIONS Total	AMOUNT BY ACTIVITIES Total	SAR No. 1	AN No. 2	MS No. 3	MEP No. 4	ELT No. 5	IO No. 6	MR No. 7
1. Program reductions	-612	-72	-684	-29,662	-3,453	-3,117	-1,495	-2,299	-15,971	-2,195	-1,132
2. Built-in changes	2,490	241	2,731	224,423	18,941	17,053	5,338	5,113	44,759	28,022	105,197
3. Operate new facilities	527	6	533	22,718	2,840	328	64	158	17,807	63	1,458
4. Increase or restore operational capability	10	6	16	70,313	17,199	16,205	5,342	4,990	24,466	2,099	12
5. Maintain capability of capital equipment	0	0	0	1,200	231	12	14	7	883	2	51
6. Recruit, train, and maintain service in all-volunteer environment	0	0	0	934	221	188	61	63	322	23	56
7. Improve management effectiveness	0	19	19	835	197	169	64	57	279	20	49
TOTAL	2,415	200	2,615	290,761	36,176	30,838	9,388	8,089	72,545	28,034	105,691
Boat Safety (proposed legislation) funded items	XXX	XXX	XXX	-15,000	-3,447	-3,344	-1,043	-1,003	-4,786	-465	-912
TOTAL INCREASE OR DECREASE FOR 1987 OVER 1986 APPROPRIATION OR ESTIMATE	2,415	200	2,615	275,761	32,729	27,494	8,345	7,086	67,759	27,569	104,779

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1987 1/
(dollars in thousands)

Appropriation: Operating Expenses

Program by Activities:	1985 Actual Full-time perm. pos.	1985 Actual Appro-priation	1986 Estimate After sequestration Full-time perm. pos	1986 Estimate After sequestration Appro-priation	1987 Estimate Full-time perm. pos.	1987 Estimate Appro-priation	Increase (+) or decrease (-) for 1987 Full-time perm. pos	Increase (+) or decrease (-) for 1987 Appro-priation
1. Search and rescue	10,085	$408,237	9,825	$392,453	9,694	$415,182	-131	$ 32,729
2. Aids to navigation	8,446	383,315	8,409	362,344	8,284	389,838	-125	27,494
3. Marine safety	3,157	121,549	3,132	115,848	3,098	124,193	-34	8,345
4. Marine environmental protection	2,965	119,108	2,882	111,523	2,845	118,609	-37	7,086
5. Enforcement of laws and treaties	13,901	562,480	14,414	537,930	14,240	605,689	-174	67,759
6. Ice operations	1,583	53,473	1,571	46,941	1,690	74,510	+119	27,569
7. Military readiness	2,546	105,281	2,372	...	2,371	104,779	-1	104,779
8. Headquarters administration	(1,705)	(95,901)	(1,733)	(93,272)	(1,761)	(99,024)	(28)	(5,752)
Total direct costs	42,683	1,753,443	42,605	1,557,039	42,222	1,832,800	-383	275,751
Unobligated balance lapsing	XXX	129	XXX	...	XXX	...	XXX	...
Total appropriation or estimate	42,683	1,753,572	42,605	1,557,039	42,222	1,832,800	-383	275,761
(Military)	(37,865)	XXX	(37,995)	XXX	(37,653)	XXX	(-342)	XXX
(Civilian)	(4,818)	XXX	(4,610)	XXX	(4,569)	XXX	(-41)	XXX

1/ Full-time positions including reimbursable positions.

Summary Explanation of Changes Requested for Fiscal Year 1987

SUMMARY BY BUDGET CATEGORY	POSITIONS Military	POSITIONS Classified	POSITIONS Total	AMOUNT BY ACTIVITIES Total	AMOUNT BY ACTIVITIES SAR No. 1	AMOUNT BY ACTIVITIES AN No. 2	AMOUNT BY ACTIVITIES MS No. 3	AMOUNT BY ACTIVITIES MEP No. 4	AMOUNT BY ACTIVITIES ELT No. 5	AMOUNT BY ACTIVITIES IO No. 6	AMOUNT BY ACTIVITIES MR No. 7
1. Program reductions	-612	-72	-684	-29,662	-3,453	-3,117	-1,495	-2,299	-15,971	-2,195	-1,132
2. Built-in changes	2,490	241	2,731	224,423	18,941	17,053	5,338	5,113	44,759	28,022	105,197
3. Operate new facilities	527	6	533	22,718	2,840	328	64	158	17,807	63	1,458
4. Increase or restore operational capability	10	6	16	70,313	17,199	16,205	5,342	4,990	24,466	2,099	12
5. Maintain capability of capital equipment	0	0	0	1,200	231	12	14	7	883	2	51
6. Recruit, train, and maintain service in all-volunteer environment	0	0	0	934	221	188	61	63	322	23	56
7. Improve management effectiveness	0	19	19	835	197	169	64	57	279	20	49
TOTAL	2,415	200	2,615	290,761	36,176	30,858	9,388	8,089	72,545	28,034	105,691
Boat Safety (proposed legislation) funded items	XXX	XXX	XXX	-15,000	-3,447	-3,344	-1,043	-1,003	-4,786	-465	-912
TOTAL INCREASE OR DECREASE FOR 1987 OVER 1986 APPROPRIATION OR ESTIMATE	2,415	200	2,615	275,761	32,729	27,494	8,345	7,086	67,759	27,569	104,779

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
OPERATING EXPENSES - JUSTIFICATIONS

CAT	TITLE	QTR	POSITIONS			OE	PROGRAM AREA DISTRIBUTION ($000)						
			MIL	CIV	TOTAL	REQUEST	SAR	A/N	MS	MEP	ELT	IO	MR
1.	PROGRAM REDUCTIONS												
A.	ANNUALIZATION OF FY 1986 MANAGEMENT SAVINGS............	4	0	0	0	-13,954	-846	-765	-505	-1,563	-8,257	-1,920	-98
B.	TERMINATION OF ONE-TIME COSTS..	4	0	0	0	-2,418	-206	-117	-307	-111	-1,662	-4	-11
C.	DECOMMISSION 5 95-FOOT PATROL BOATS (WPB)....................	*	-77	0	-77	-1,611	-309	-17	-19	-9	-1,186	-4	-67
D.	LIGHTHOUSE AUTOMATIONS (LAMP) PERSONNEL REDUCTIONS..........	4	-7	0	-7	-122	...	-122	...	...	...	...	...
E.	SOLAR AIDS TO NAVIGATION COST AVOIDANCE.....................	4	0	0	0	-163	...	-163	...	...	...	...	...
F.	REDUCTIONS UNDER OMB CIRCULAR A-76..........................	4	-161	-70	-231	-1,386	-318	-308	-97	-93	-443	-43	-84
G.	DECOMMISSION UNIMAK AND CLOVER.	*	-188	0	-188	-2,667	-115	...	...	-2	-2,123	...	-427
H.	TRANSFER OF FTE TO THE FEDERAL AVIATION ADMINISTRATION (FAA).	4	0	-2	-2	-59	-4	-7	-25	-15	-4	...	-4
I.	RETURN OF FTE TO THE FEDERAL MARITIME COMMISSION (FMC).....	4	0	0	0	-100	-7	-15	-44	-26	-4	...	-4
J.	IMPROVED PRODUCTIVITY..........	4	-179	0	-179	-7,182	-1,648	-1,603	-498	-480	-2,292	-224	-437
	SUBTOTAL, PROGRAM REDUCTIONS...		-612	-72	-684	-29,662	-3,453	-3,117	-1,495	-2,299	-15,971	-2,195	-1,132

* VARIOUS QUARTER CODES

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
-- OPERATING EXPENSES - JUSTIFICATION

CAT	TITLE	QTR	POSITIONS MIL	POSITIONS CIV	POSITIONS TOTAL	OB REQUEST	PROGRAM AREA DISTRIBUTION ($000) SAR	A/N	MS	MEP	ELT	IO	MR
2.	BUILT-IN CHANGES												
A.	NON-PAY COST OF LIVING ADJUSTMENT	4	0	0	0	20,253	4,655	4,515	1,408	1,354	6,463	627	1,231
B.	FUND FY 1996 D.O.D. AUTHORIZATION ACT	4	0	0	0	30,105	6,916	6,713	2,093	2,013	9,605	934	1,831
C.	INCREASE FEDERAL EMPLOYEES COMPENSATION FUND	4	0	0	0	362	83	81	25	24	116	11	22
D.	ANNUALIZATION OF 1996 PART-YEAR FUNDING	4	0	0	0	23,203	1,545	169	74	50	20,597	175	593
E.	FUND ICEBREAKER FIXED COSTS	4	564	0	564	25,500	...	...	...	...	...	25,500	...
F.	FUND DEFENSE READINESS	4	1,926	241	2,167	100,000	...	...	...	...	...	...	100,000
G.	RESTORE OPERATING EXPENSES TO BASE	4	0	0	0	25,000	5,742	5,575	1,738	1,672	7,978	775	1,520
	SUBTOTAL		2,490	241	2,731	224,423	18,941	17,053	5,338	5,113	44,759	28,022	105,197

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
OPERATING EXPENSES - JUSTIFICATION

CAT	TITLE	QTR	POSITIONS MIL	POSITIONS CIV	POSITIONS TOTAL	OO REQUEST	PROGRAM AREA DISTRIBUTION ($000) SAR	A/N	MS	MEP	ELT	IO	MR
3.	**OPERATE NEW FACILITIES**												
A.	COMMISSION AND OPERATE 270-FOOT MEDIUM ENDURANCE CUTTERS (WMECs)................	*	121	0	121	7,328	316	...	...	...	5,838	...	1,174
B.	INFORMATION RESOURCE MANAGEMENT SYSTEMS FOLLOW-ON.............	2	0	6	6	121	15	2	...	1	95	...	8
C.	HH-65A PERSONNEL FOLLOW-ON.....	*	81	0	81	2,714	930	17	...	80	1,631	25	31
D.	270-FOOT WMEC PIPELINE TRAINING FOLLOW-ON.....................	2	56	0	56	955	119	13	3	7	749	3	61
E.	PATROL BOAT FOLLOW-ON..........	*	113	0	113	3,098	593	34	36	15	2,283	9	128
F.	OPERATE TWO AEROSTATS FOLLOW-ON......................	1	48	0	48	2,809	...	...	...	...	2,809	...	...
G.	OPERATE ONE C-130 FOLLOW-ON....	4	29	0	29	2,570	702	253	15	51	1,505	24	20
H.	OPERATE EIGHT FASTBOATS FOLLOW-ON......................	4	40	0	40	2,260	...	...	...	...	2,260	...	...
I.	MULTIPLE-CREW 110-FOOT WPBs....	2	39	0	39	863	165	9	10	4	637	2	36
	SUBTOTAL......................		527	6	533	22,718	2,840	328	64	158	17,807	63	1,458
4.	**INCREASE OR RESTORE OPERATIONAL CAPABILITY**												
A.	STRENGTHEN SECURITY INVESTIGATIONS................	2	10	0	10	196	46	40	13	13	67	5	12
B.	BOAT CONSTRUCTION STANDARDS ENFORCEMENT...................	2	0	6	6	156	...	...	156	...	...	...	...
C.	INCREASE BASIC OPERATIONAL CAPABILITIES..................	4	0	0	0	69,961	17,153	16,165	5,173	4,977	24,399	2,094	...
	SUBTOTAL......................		0	0	0	70,313	17,199	16,205	5,342	4,990	24,466	2,099	12

* VARIOUS QUARTER CODES

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
OPERATING EXPENSES - JUSTIFICATION

CAT	TITLE	QTR	POSITIONS MIL	POSITIONS CIV	POSITIONS TOTAL	CG REQUEST	PROGRAM AREA DISTRIBUTION (2000) SAR	A/N	MS	MEP	ELT	IO	MR
5.	**MAINTAIN CAPABILITY OF CAPITAL EQUIPMENT**												
A.	95-FOOT PATROL BOAT STRUCTURAL REPAIRS............	4	0	0	0	1,200	231	12	14	7	883	2	51
	SUBTOTAL......................		0	0	0	1,200	231	12	14	7	883	2	51
6.	**RECRUIT, TRAIN, MAINTAIN SERVICE IN AN ALL-VOLUNTEER ENVIRONMENT**												
A.	INCREASE NUMBER OF NEW RECRUIT APPLICANTS............	4	0	0	0	934	221	188	61	63	322	23	56
	SUBTOTAL......................		0	0	0	934	221	188	61	63	322	23	56
7.	**IMPROVE MANAGEMENT EFFECTIVENESS**												
A.	CREATE OFFICE OF ACQUISITION...	4	0	19	19	835	197	169	64	57	279	20	49
	SUBTOTAL......................		0	19	19	835	197	169	64	57	279	20	49
	GRAND TOTAL....................		2,415	200	2,615	290,761	36,176	30,838	9,388	8,099	72,545	28,034	105,691

Detailed Explanation of Changes Requested for Fiscal Year 1987

1. Program Reductions:

Summary for this Budget Category.................... -$29,662,000

Personnel Change:	POS	FTE
Military...............	-612	-971
Civilian...............	-72	-74

a. Annualization of FY 1986 Management Savings..................... -$13,954,000

The following is an annualization of part-year personnel actions initiated in FY 1986:

	Mil FTE	Amount ($000)
VTS Civilianization......................	13	368
Decommission 110' Harbor Tugs............	55	1,774
Lighthouse Automations (LAMP) Follow-On...	6	124
Communications Station Kodiak Equipment Follow-On............................	1	10
Decommission INGHAM - 4th 327' High Endurance Cutter.........	36	1,583
Decommission TANEY - 5th 327' High Endurance Cutter.........	72	2,946
Fleet Rehabilitation & Modernization/Major Maintenance Availability Crew Reductions	62	1,418
Reduction of Administrative Overhead......	125	4,269
Reduced Training Requirements............	65	1,462
Total................................	-435	-$13,954

Personnel:	POS	FTE
Military.........	0	-435

1. Program Reductions (Cont'd)

b. Termination of One-Time Costs............ -$2,418,000

Termination of one-time start-up costs for programs funded in FY 1986 will result in a reduction in FY 1987. These programs are:

Item	Amount ($000)
Station Gulfport, MS, Follow-On	61
Operate 2 Leased Aerostat	33
Cape Cod Medical Clinic Follow-On	27
Air Station San Diego Follow-On	4
HC-130 Air Crew Follow-On	340
Rescue Swimmer	27
HH-65A Follow-On	8
Operate 140' Icebreaking Tug (WTGB 108) Follow-On	87
Operate 110' Patrol Boats (WPBs)	265
Operate Purchased Aerostat 1-3	103
270' WMEC Maintenance Augmentation Team (MAT)-Cluster II	220
270' Medium Endurance Cutter (WMEC)-Operate TAHOMA	273
270' Medium Endurance Cutter (WMEC)-Operate SENECA	273
270' Medium Endurance Cutter (WMEC)-Operate ESCANABA	273
Secure Voice Shore Units Follow-On	10
Vessel Traffic Service (VTS) Civilianization	382
Personnel Support for HU-25A/HH-65A Aircraft	8
Support Center (SUPRTCEN) Boston Phase II Follow-On	10
A-76 Contract Administrators	10
Key West Unaccompanied Personnel Housing Follow-On	4
TOTAL	-$2,418

c. Decommission 5 95-Foot Patrol Boats (WPB) -$1,611,000

Commissioning of 5 new 110-foot patrol boats (WPB), funded in previous budgets, will replace and allow retirement of 5 1950's-vintage 95-foot patrol boats (WPBs). 1 of the 95-foot WPB's will be retired in the first quarter, 2 in the second quarter, and 2 in the third quarter, FY 1987, as the new 110-foot WPBs become operational.

Personnel:	POS	FTE
Military.........	-77	-39

1. Program Reductions (Cont'd)

d. Lighthouse Automations (LAMP) Personnel Reductions.................. -$122,000

Personnel and associated dollar reductions will be taken as a result of the increased navigational reliability provided by 4 FY 1986 lighthouse automations. The total personnel savings are partially offset by operating and support costs of the newly-automated lighthouses.

Personnel:	POS	FTE
Military.........	-7	-7

e. Solar Aids to Navigation Cost Avoidance.. -$163,000

Savings reflect the conversion of primary battery powered aids to navigation (ATON) to the use of solar power. During FY 1987 approximately 2,000 will be converted to solar power. The use of solar power on aids to navigation began in FY 1984 and will continue through FY 1989. During this period, approximately 10,000 of 16,000 aids to navigation will be converted from primary battery power (which incur hazardous material disposal costs) to low maintenance solar power. This initiative reduces battery maintenance and disposal costs.

f. Reductions Under OMB Circular A-76....... -$1,386,000

Personnel savings will be taken as a result of productivity studies and contracting out of commercial activities to the private sector. Anticipated personnel reductions were taken in FYs 1985 and 1986 totaling 432 civilian and 483 military full-time equivalents. An accelerated review schedule will provide an additional -161 military billets in FY 1986 which have been annualized as full-year reductions in FY 1987. In addition 37 activities involving 1,700 positions will be reviewed under A-76 in FY 1987; resulting saving will be annualized in subsequent budgets.

Personnel:	POS	FTE
Military.........	-161	-161
Civilian.........	-70	-70

42

1. Program Reductions (Cont'd)

g. **Decommission UNIMAK and CLOVER**........... -$2,667,000

Savings will occur as a result of the decommissioning of 1 311-foot high endurance cutter and 1 180-foot medium endurance cutter. The UNIMAK will be retired in the third quarter, FY 1987, and the CLOVER will be retired during the fourth quarter. These 2 cutters are being replaced by the arrival of the 270-foot WMEC's SENECA and ESCANABA, respectively.

Personnel:	POS	FTE
Military.........	-188	-83

h. **Transfer of FTE to the Federal Aviation Administration (FAA)**.................. -$59,000

This transfer facilitates the establishment of a training program at the Transportation Safety Institute to support mishap analysis and investigation activities within the Coast Guard. 2 full-time permanent positions will be transferred to FAA to serve as instructors for the program. This management initiative is cost-effective to the Coast Guard, as FAA already possesses the expertise and facilities required to execute this program successfully.

Personnel:	POS	FTE
Civilian.........	-2	-2

i. **Return of FTE to the Federal Maritime Commission (FMC)**...................... -$100,000

This returns 2 full-time permanent positions to FMC which were transferred to the Coast Guard in FY 1985.

Personnel:	POS	FTE
Civilian.........	0	-2

j. **Improved Productivity**..................... -$7,182,000

Savings will occur as a result of improved productivity and management efficiencies throughout the Coast Guard while maintaining essential levels of services.

Personnel:	POS	FTE
Military.........	-179	-246

2. **Built-in Changes**:
Summary for this Budget Category.................... $224,423,000

Personnel Required:	POS	FTE
Military............	2,490	2,707
Civilian............	241	253

a. **Non-Pay Cost of Living Adjustment**..................... $20,253,000

Escalation in the price of goods and services is a significant factor which must be considered by an operating agency. To insure that the same level of services to the public are maintained, funds must be provided to offset this factor. A standard government-wide inflation rate of 4.2 per cent applied to the non-personnel compensation portion of the appropriation results in a cost of living adjustment of $35,024,000. However, this request reflects efficiencies to be achieved through productivity initiatives and organizational consolidations, while maintaining essential levels of service.

b. **Fund FY 1986 D.O.D. Authorization Act** $30,105,000

This request provides initial funding for the 3 percent increase in pay and other entitlements for military personnel enacted in the Department of Defense Authorization Act, 1986. These increases became effective 1 October 1985.

c. **Increase Federal Employees Compensation Fund**.......... $362,000

Additional funds are required to compensate the Department of Labor for the Federal Employees Compensation Fund.

44

2. Built-in Changes (Cont'd)

d. Annualization of 1986 Part-Year Funding.. $23,203,000

Projects for which resources were first funded in FY 1986 were budgeted only on a part year basis. Additional funds and full-time equivalents are required to provide full year resources for the following items:

Item	Amount ($000)	FTE Mil	FTE Civ
Station Gulfport, MS, Follow-On....................	558	23	0
HC-130 Follow-On................................	762	0	0
Rescue Swimmer..................................	207	8	0
HH-65A Follow-On................................	45	2	0
Operate 140' Icebreaking Tug (WTGB 108) Follow-On.	47	0	0
Operate 110' Patrol Boats (WPB) Follow-On.........	3,449	47	0
1-3 Purchased Aerostat Operation..................	9,863	32	0
270' WMEC Maintenance Augmentation Team (MAT).....	244	11	0
270' Medium Endurance Cutter (WMEC)-Operate TAHOMA	1,696	60	0
270' Medium Endurance Cutter (WMEC)-Operate SENECA	1,205	0	0
270' Medium Endurance Cutter (WMEC)- Operate ESCANABA..............................	3,259	30	0
270' Medium Endurance Cutter Follow-On Slippage...	1,300	0	0
Groundwater Purging/Traverse City.................	175	0	0
Secure Voice Follow-On............................	61	0	0
Inventory Management, HU-25A & HH-65A.............	60	1	2
Aircraft Repair Support Center (ARSC) Quality Assurance Division......................	87	0	3
Contract Documentation Staff, Aircraft Repair Support Center (ARSC)...........................	20	0	4
SUPRTCEN Boston Phase II Follow-On................	49	0	1
A-76 Contract Administrators......................	47	2	0
Family Housing O&M Personnel Follow-On............	1	1	0
Key West Unaccompanied Personnel Housing (UPH) Follow-On........................	68	0	2
TOTAL	$23,203	217	12

Personnel:	POS	FTE
Military.........	0	217
Civilian.........	0	12

2. Built-in Changes (Cont'd)

e. Fund Icebreaker Fixed Costs.............. $25,500,000

The Arctic Policy and Research Act of 1984 (P.L. 98-373) requires that "all funds necessary to support icebreaking operations, except for recurring incremental costs associated with specific projects" be allocated to the Coast Guard. The Icebreaker User Council has agreed to a revised cost-sharing formula to accomplish this. This request restores to the Coast Guard base all funds for icebreaker fixed costs currently appropriated to the National Science Foundation and the U.S. Navy. While this proposal has no effect on total Coast Guard personnel levels, it does require that adjustments be made to account for them within the Appropriation base rather than in the reimbursable category.

Personnel:	POS	FTE
Military.........	564	564

f. Fund Defense Readiness................... $100,000,000

This request restores to the Coast Guard base all funds for operations and training relating to the Coast Guard's defense and military readiness missions. In FY 1986 this amount was provided on a reimbursable basis by the Department of Defense, U.S. Navy, Operation and Maintenance. While this proposal has no effect on total Coast Guard personnel levels, it does require that adjustments be made to account for them within the Appropriation base rather than in the reimbursable category.

Personnel:	POS	FTE
Military.........	1,926	1,926
Civilian.........	241	241

g. Restore Operating Expenses to Base........ $25,000,000

This request restores to the Coast Guard base funds for operating expenses which were funded in FY 1986 by transfer of $10,000,000 from unobligated balances of the Pollution Fund and $15 million which was funded from unobligated balances carried over from the FY 1985 Supplemental. While this proposal has no effect on total program and funding levels, it does require that adjustments be made to account for these resources within the Appropriation base.

3. Operate New Facilities:
Summary for this Budget Category.................... $22,718,000

Personnel Required:	POS	FTE
Military..............	527	368
Civilian..............	6	3

a. Commission and Operate 270-foot Medium Endurance Cutters (WMECs)............. $7,328,000

Follow-on part-year funding is required to operate 2 new 270-foot WMECs scheduled for delivery in FY 1987. While both cutters require funding for training and shakedown operations, only CAMPBELL requires crewing in FY 1987. TAHOMA's crew was provided in the FY 1986 budget. These ships are multi-mission, flight deck-equipped cutters used for enforcement of laws and treaties, search and rescue, and defense readiness.

Personnel required:	POS	FTE
Military.........	121	91

b. Information Resource Management Systems Follow-On............................... $121,000

FY 1986 funding provided for development and maintenance of a software system whose data base contains information necessary for the efficient integration of new and existing data systems. Funding is needed to provide follow-on support for the Information Resource Management (IRM) System within the Coast Guard. Requirements include: 1) Experienced systems analysts, programmers, and other computer professionals; 2) Coast Guard-wide software licenses; 3) a software evaluation board; and, 4) Coast Guard-wide standard terminal training courses. Increased software standardization within the Information Resource Management System will reduce long-term training and software purchase costs.

Personnel required:	POS	FTE
Civilian.........	6	3

c. HH-65A Personnel Follow-On............... $2,714,000

Follow-on part-year funding is required for pilots, aircrew, and aviation maintenance personnel to operate and maintain the final 6 Short Range Recovery (SRR) HH-65A helicopters funded in FY 1983.

Personnel required:	POS	FTE
Military.........	81	68

3. Operate New Facilities (Cont'd)

d. 270-foot WMEC Pipeline Training Follow-On $955,000

The 270-foot WMEC was built to take advantage of the technological advances in ship construction developed in recent years. As a result, it is possible for the WMEC-270 to do the same missions as the ships it is replacing but with a smaller ship and fewer personnel. To achieve the associated savings and productivity improvements, it was recognized that the WMEC-270 would require a more highly trained crew. Normal personnel support and training allowances could not meet its extensive and unique pipeline training requirements. This concept was approved and used from the beginning of WMEC-270 program to allocate personnel resources. Fifty-six billets (14 per ship) were provided in FY 1984 for BEAR, TAMPA, HARRIET LANE, and NORTHLAND. Fifty-six additional billets are now required for SPENCER, SENECA, ESCANABA and TAHOMA.

Personnel required:	POS	FTE
Military.........	56	28

e. Patrol Boat Follow-On..................... $3,098,000

Funds and crew are needed to operate 5 new 110-foot patrol boats (WPBs), hulls 12 through 16. These patrol boats will replace 95-foot patrol boats that are past their useful service life. This request includes 14 positions and associated FTE for support personnel necessary to provide Patrol Boat Squadron 1 in Miami, FL, and Patrol Boat Squadron 2 in Roosevelt Roads, PR, with necessary maintenance, logistics and administrative support.

Personnel required:	POS	FTE
Military.........	113	80

f. Operate Two Aerostats Follow-on.......... $2,809,000

The FY85 Supplemental Appropriation directed the Coast Guard to procure 2 additional aerostats (#6 and #7). These aerostats will require follow-on funding during the last quarter of FY87. The Coast Guard will operate the tethered aerostat balloons equipped with surface-reach radar to be deployed from commercial leased vessels for use in the detection of illegal drug traffic. Radar watchstanding and communications personnel, leased vessel costs, and radar maintenance funds are requested to operate this system.

Personnel required:	POS	FTE
Military.........	48	12

3. Operate New Facilities (Cont'd)

g. Operate One C-130 Follow-on.............. $2,570,000

FY85 Supplemental funding provided for the purchase of an HC-130 aircraft. This new aircraft will provide additional flight hours to support law enforcement and search and rescue. The HC-130 is the only long range, long endurance aircraft in the Coast Guard's inventory, capable of supporting all Coast Guard missions. Additional funds and personnel are requested for the operation and maintenance of this aircraft.

Personnel required:	POS	FTE
Military.........	29	29

h. Operate Eight Fastboats Follow-on........ $2,260,000

The FY85 Supplemental Appropriations Act funded the purchase of 8 fastboats. Delivery of these fastboats requires crews, operating funds and contract maintenance to maintain and operate.

Personnel required:	POS	FTE
Military.........	40	40

i. Multiple-crew 110-foot WPBs............. $863,000

Additional crews and funds are requested to permit phasing in of multiple-crew operation of the 110-foot WPBs. The multiple-crewing will make the WPBs more productive by increased staffing and patrol boat operating hours.

Personnel required:	POS	FTE
Military.........	39	20

4. Increase or Restore Operational Capability:

Summary for this Budget Category.................. $70,313,000

Personnel Required:	POS	FTE
Military...............	10	5
Civilian...............	6	3

a. Strengthen Security Investigations....... $196,000

Funds are requested for 10 additional investigators to conduct National Agency Checks (NACs) and Background Investigations (BIs) required for the granting of personnel security clearances and for assignment of personnel to sensitive positions. Currently 24 field agents and 4 Headquarters clerks annually conduct 850 BIs and 28,000 NACs. 85 percent of all BIs are overdue. The average delay is 8 months. 70 percent of all NACs are overdue with the average delay being 4 months. Further, the number of positions requiring Sensitive Compartmented Intelligence clearances has risen from 17 in FY 1977 to 550 in FY 1986 because of the increased use of national intelligence sources for the law enforcement program. This is a separate category of clearances requiring greater investigative procedures, beyond a BI and NAC. Despite an overtime effort that averages over 400 hours per year by each of the 24 agents, more than 90 percent of investigations are completed late, resulting in unacceptable delays in granting security clearances. This is having an adverse effect on Coast Guard missions requiring clearances. As the Coast Guard uses more intelligence data, the need for proper clearances processed without delay is acute. Failure to meet National Security Agency (NSA) clearance requirements increases our vulnerability to the compromise of national security information and, in today's heightened sensitivity to such issues, could result in the denial by other agencies of classified information vital to our defense readiness and law and drug enforcement responsibilities.

Personnel required:	POS	FTE
Military.........	10	5

b. Boat Construction Standards Enforcement.. $156,000

Funding is needed for field personnel to enforce Federally-mandated recreational boating construction standards. The Federal Boat Safety Act of 1971 tasks the Coast Guard with the responsibility of enforcing boat construction regulations. The present staff makes only 1 visit every 2 years to each boating manufacturer subject to Federal standards. Increased staffing would allow for more frequent and thorough enforcement of boat construction regulations. Funds will allow for improved public recreational boating safety, which equates to fewer motorboat fatalities and injuries.

Personnel required:	POS	FTE
Civilian.........	6	3

4. Increase or Restore Operational Capability (Cont'd)

c. Increase Basic Operational Capabilities $69,961,000

During FY 1986 the Coast Guard implemented a number of measures to cope with reduced budgetary resources, including: operating cutters and aircraft below programmed levels; use of smaller crews on selected vessels; slowdown in rotations; deferral of routine maintenance; reduced training opportunities; reduced recruitment; slower than planned implementation of new program initiatives; and reduced replenishment of stores and equipment inventories. These actions which are manageable on a short-term basis, cannot be sustained in FY 1987 without serious impact on Coast Guard operational capability. Funds are therefore requested to increase basic operational capabilities. No adjustments have been made in the budgeted FY 1986 average employment levels, although in actual execution average employment reductions must accompany dollar reductions, given the Coast Guard's personnel intensive nature. This information is not yet developed.

5. Maintain Capability of Capital Equipment:
Summary for this Budget Category.................. **$1,200,000**

a. 95-foot Patrol Boat Structural Repairs... $1,200,000

Funding is requested to perform extraordinary interim maintenance and repairs to 18 95-foot patrol boats (WPBs) pending their replacement in the FY 1989-91 timeframe. This does not include 5 additional 95-foot patrol boats being decommissioned as 110-foot WPBs become operational in FY 1987, or vessels scheduled for replacement in FY 1988. It has been necessary to place all 95-foot WPBs under restricted operating guidelines to prevent further catastrophic hull failures. 9 WPBs have experienced some degree of structural failure. 5 renovated WPBs have exceeded their renovated service lives. 2 WPBs have experienced catastrophic hull failures.

6. Recruit, Train, Maintain Service in an
All-Volunteer Environment:
Summary for this Budget Category.................. $934,000

a. Increase Number of New Recruit Applicants $934,000

Funds are required to enable the Coast Guard to remain competitive in enlisting recruits in the increasingly shrinking pool of recruit-age personnel. At present, because of a very low dollar expenditure per applicant, Coast Guard recruit waiting lists have been exhausted and essentially no latitude for selection of recruits is possible; i.e., to make quota, the Coast Guard must take all eligible applicants. Two effects create this situation: the shrinking size of the nation's 18 to 25 year old applicant pool; and the vigor with which DoD recruits, both in numbers enlisted and dollars spent per applicant. Lowering standards is not a solution. Maintaining the quality of recruits by having a greater number of high calibre applicants, i.e., high school graduates, is cost-effective. It reduces recruit training center attrition, eases follow-on specialty training requirements, improves long-term retention, and results in a more capable and professional service member. The requested funds will increase the average recruiting expenditures from $60 to just over $100 per applicant.

7. **Improve Management Effectiveness:**
Summary for this Budget Category.................... $835,000

Personnel Required:	POS	FTE
Civilian..............	19	19

a. **Create Office of Acquisition**............. $835,000

Increased procurement regulations, reemphasized competition efforts, additional management review levels, extended appeals processes and technological advancements and sophistications in the major ships, boats and aircraft that the Coast Guard buys have all combined to make the acquisition of major systems increasingly complex. To better coordinate the multiple staff disciplines involved and to facilitate more timely completion of these large projects, the creation of an Office of Acquisition at Coast Guard Headquarters is considered necessary. The fundamental mission of this Office is to develop and retain the expertise to manage the acquisition of major Coast Guard systems, such as the Polar Icebreaker, patrol boat (WPB), and the medium-range recovery (MRR) helicopter replacement projects. Elements of our current procurement, logistics, engineering, quality assurance, legal and planning staffs will be combined with these requested new resources to form this Office. Major benefits will be derived from consolidation of all aspects of the acquisition effort under a single Office Chief. This will lead to better requirements definitions, specification developments, and more timely project execution. The net result will be procurement cost savings in our capital investment programs. Repeated Inspector General audits have criticized the current fragmented Coast Guard project management approach and Senate Committee Report no. 98-82 requires the Coast Guard to reexamine its procurement system and streamline the process. Establishment of this new Office addresses the shortcomings in the current system.

Personnel required:	POS	FTE
Civilian........	19	19

Standard Form 300
OEB

Proposed Legislation

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Program and Financing (in thousands of dollars)

Identification code: 69-0201-2-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations (object class 25.0)	...	...	15,000
Financing:			
13.00 Offsetting collections from: Trust funds	...	...	-15,000
39.00 Budget authority	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	...	...	...
90.00 Outlays	...	...	...

OE9

COAST GUARD--Operating Expenses
Proposed Legislation

Legislation will be proposed to authorize an additional expenditure of $15 million from Boat Safety to be used to offset Coast Guard Operating Expenses in fiscal year 1987 for a total of $30 million of which $15 million is currently authorized for these purposes by P.L. 98-369.

Standard Form 300
OE10

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES

Program and Financing (in thousands of dollars)

Identification code 69-0201-6-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations...............	...	-69,961	...
Financing:			
40.00 Budget authority (Appropriation)	...	-69,961	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	...	-69,961	...
72.40 Obligated balance, start of year	...	...	-11,541
74.40 Obligated balance, end of year..	...	11,541	...
90.00 Outlays........................	...	-58,420	-11,541

OE11
COAST GUARD -- Operating Expenses

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION

COAST GUARD

Acquisition, Construction, and Improvements

For necessary expenses of acquisition, construction, rebuilding, and improvement of aids to navigation, shore facilities, vessels, and aircraft, including equipment related thereto; to remain available until September 30, [1990 $217,300,000: *Provided*, That the Secretary of Transportation shall issue regulations requiring that written warranties shall be included in all contracts with prime contractors for major systems acquisitions of the Coast Guard: *Provided further*, That any such written warranty shall not apply in the case of any system or component thereof that has been furnished by the Government to a contractor: *Provided further*, That the Secretary of Transportation may provide for a waiver of the requirements for a warranty where: (1) the waiver is necessary in the interest of the national defense or the warranty would not be cost effective; and (2) the Committees on Appropriations of the Senate and the House of Representatives are notified in writing of the Secretary's intention to waive and reasons for waiving such requirements: *Provided further*, That the requirements for such written warranties shall not cover combat damage] *1991, $77,100,000 (Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190, additional authorizing legislation to be proposed.)*

1AC1
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DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Program and Financing (in thousands of dollars)

Identification Code 69-0240-0-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
Direct program:			
1. Search and rescue................	96,983	80,187	41,192
2. Aids to navigation...............	77,284	65,194	32,520
3. Marine safety....................	6,061	5,516	2,168
4. Marine environmental protection..	10,608	9,253	4,336
5. Enforcement of laws and treaties.	276,302	229,184	120,758
6. Ice operations...................	1,515	1,290	650
7. Defense readiness................	36,369	28,176	15,176
Total direct program.............	505,122	418,800	216,800
Reimbursable program..................	10,561	11,200	11,200
10.00 Total obligations................	515,683	430,000	228,000
Financing:			
11.00 Offsetting collections from: Federal sources..................	-9,108	-11,200	-11,200
17.00 Recovery of prior year obligations.....................	-6,250	...	...
21.40 Unobligated balance available, start of year..................	-531,657	-411,024	-209,524
22.40 Unobligated balance transferred net............................	-5,740	...	...
24.40 Unobligated balance available, end of year......................	411,024	209,524	69,824
25.00 Unobligated balance lapsing......	248	...	...
40.00 Budget authority (appropriation).	374,200	217,300	77,100

AC2
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Program and Financing (in thousands of dollars) p. 2

Identification Code 69-0240-0-1-403	1985 actual	1986 estimate	1987 estimate
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	506,575	418,800	216,800
72.40 Obligated balance, start of year.	614,849	671,688	676,246
74.40 Obligated balance, end of year...	-671,688	-676,246	-538,046
77.00 Adjustments in expired accounts..	79	...	...
78.00 Adjustments in unexpired accounts	-6,250	...	...
90.00 Outlays........................	443,565	414,242	355,000

ACA

COAST GUARD -- Acquisition, Construction, and Improvements

PROGRAM AND PERFORMANCE

This appropriation provides for the major acquisition, construction, and improvement of vessels, aircraft, shore units, and aids to navigation, excluding minor acquisitions, additions, renewals, and replacements funded in the Operating Expenses appropriation where estimated costs of a program are $150 thousand or less, or where renewals and replacements involve less than 75 percent of the original facility. Most of the facilities financed by this appropriation are multi-mission in nature and are required by the Coast Guard in the performance of its operational and regulatory missions.

The budget request of $77,100,000, together with $190,000,000 appropriated to the Navy in 1986 for Coastal Defense Augmentation, will provide for Coast Guard requirements for vessels, aircraft, equipment and shore facilities. The planned use of this combination of resources includes:

Vessels. -- By the end of 1987, ten of the thirteen 270-foot Medium Endurance Class cutters (WMEC) will be operational or delivered. Construction will be well underway on the ninth vessel of the nine cutter 140-foot Icebreaking Tug (WTGB) program. In addition, construction and delivery of sixteen (16) new 110-foot Patrol Boats (WPB) will be completed. During Fiscal Year 1987, a multi-year program will be initiated to replace the Coast Guard's "CAPE" class and "POINT" class patrol boats; construction of a prototype vessel will begin. Major accomplishments will also be realized in the area of vessel renovation and modernization. By the end of Fiscal Year 1987, the first seven of twelve 378-foot High Endurance Cutters (WHEC) and six of sixteen 210-foot Medium Endurance Cutters (WMEC) will have entered shipyards for major renovations. Cumulatively, these accomplishments will enhance critical multi-mission capabilities of the Coast Guard's major vessel capital assets and improve on the fleet's readiness and maintenance posture.

Aircraft. -- The twelve HC-130 Long Range Surveillance fixed-wing aircraft funded in 1984 and 1985 will be delivered, bringing the C-130 fleet to twenty-six. Considerable progress will be made in acquiring aircraft sensors to enhance search and rescue and law enforcement missions. Twenty-three of thirty-six HC-130 Search Radars will be ordered and one Airborne Surveillance Systems (AIREYE) will be in operational use on HH-25A Medium Range Search aircraft. Seventy-eight of ninety-six HH-65A Short Range Recovery (SRR) helicopters will be delivered by the end of FY 1987. The HH-65A SRR helicopter promises enhanced mission performance for the Coast Guard helicopter fleet. These improvements will include faster response time, safer operations, and more capable detection systems.

Shore Facilities. -- Recent shore facility projects have emphasized both new construction and renovations, improvements, or replacements of existing facilities. Although considerable maintenance requirements remain, significant progress has been made in upgrading the Coast Guard's major shore facilities at Miami, FL; Kodiak, AK; and Petaluma, CA. Upgrades at Alameda, CA; Portsmouth, VA; Boston, MA; New Bedford, MA; and Long Beach, CA will insure adequate support of new and renovated WHECs and WMECs. Projects have also been initiated to provide advanced electronic data processing and communications to Coast Guard commands; to enhance productivity and management decisions.

AC5
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DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Object Classification (in thousands of dollars)

Identification Code 69-0240-0-1-403		1985 actual	1986 estimate	1987 estimate
Direct obligations:				
	Personnel compensation:			
11.1	Full-time permanent............	5,923	6,520	6,520
11.3	Other than full-time permanent.	34	40	40
11.5	Other civilian personnel compensation..................	162	180	180
11.7	Military personnel.............	9,983	10,300	10,300
11.9	Total personnel compensation.	16,102	17,040	17,040
	Personnel benefits:			
12.1	Civilian.....................	717	855	855
12.2	Military personnel...........	459	480	480
21.0	Travel and transportation of persons.........................	2,131	1,600	800
22.0	Transportation of things.........	1,446	1,223	1,261
23.3	Communications, utilities, and miscellaneous charges...........	870	815	840
24.0	Printing and reproduction........	131	81	50
25.0	Other services...................	48,781	40,763	19,760
26.0	Supplies and materials...........	45,003	36,687	17,784
31.0	Equipment........................	291,606	237,730	118,410
32.0	Lands and structures.............	97,876	81,526	39,520
99.0	Subtotal, direct obligations....	505,122	418,800	216,800
	Reimbursable obligations:			
25.0	Other services....................	...	200	200
31.0	Equipment........................	10,561	11,000	11,000
99.0	Subtotal, reimbursable obligations..................	10,561	11,200	11,200
99.9	Total obligations............	515,683	430,000	228,000

AC6
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Personnel Summary

Identification Code 69-0240-0-1-403	1985 actual	1986 estimate	1987 estimate
Military:			
Total number of full-time permanent positions..........................	297	297	297
Total compensable workyears:			
Full-time equivalent employment..	297	297	297
Civilian:			
Total number of full-time permanent positions................	224	224	228
Total compensable workyears:			
Full-time equivalent employment..	197	219	219
Full-time equivalent of overtime and holiday hours........	4	4	4

1AC1
Standard Form 300

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Program and Financing (in thousands of dollars)

Identification Code 69-0240-6-1-403	1985 actual	1986 estimate	1987 estimate
10.00 Total obligations................	...	-9,344	..
Financing:			
40.00 Budget authority (appropriation).	...	-9,344	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	...	-9,344	...
72.40 Obligated balance, start of year.	...	...	-8,017
74.40 Obligated balance, end of year...	...	8,017	5,292
90.00 Outlays........................	...	-1,327	-2,725

COAST GUARD -- Acquisition, Construction and Improvements

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

AC7

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1987[1/]
(Dollars in thousands)

Appropriation: Acquisition, Construction, and Improvements	1985 Actual		1986 After Sequestration		1987 Estimate	
	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount
Program by activities:						
1. Search and Rescue	99	71,780	78	34,298	115	16,663
2. Aids to Navigation	79	57,466	68	34,164	100	14,391
3. Marine Safety	5	4,657	5	6,169	16	2,166
4. Marine Environmental Protection	10	7,805	16	5,984	11	1,908
5. Enforcement of Laws and Treaties	289	204,510	302	106,510	242	35,563
6. Ice Operations	2	1,082	10	4,286	4	641
7. Defense Readiness	37	26,900	42	16,545	37	5,768
Total appropriation or estimate	521	374,200	521	207,956	525	77,100
(Military)	(297)	...	(297)	...	(297)	...
(Civilian)	(224)	...	(224)	...	(228)	...

[1/] This table reflects the amounts appropriated or the estimate for each activity of this appropriation.

Summary Explanation of Changes Requested for Fiscal Year 1987

Program Changes:

Requirements for this appropriation are determined by the cost of a selected list of specific projects described in detail on the project sheets. The projects are as follows:

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Acquisition, Construction, and Improvements: 69-0240-0-1-403
(Dollars in thousands)

	PAGE NUMBER	TOTAL REQUEST	SAR	ATON	MS	MEP	ELT	IO	DR
I. VESSELS:									
A. ACQUIRE VESSELS AND EQUIPMENT:									
1. SURVEY AND DESIGN - BOATS AND CUTTERS	74	900	111	75	18	8	587	8	93
Subtotal Vessels		900	111	75	18	8	587	8	93
II. COMMAND, CONTROL AND COMMUNICATIONS:									
1. INFORMATION RESOURCES MANAGEMENT SYSTEM - PHASE II	75	900	213	188	113	19	301	14	52
2. SURVEY AND DESIGN - COMMAND, CONTROL AND COMMUNICATIONS	74	300	37	24	6	3	196	3	31
Subtotal, Command, Control and Communications		1,200	250	212	119	22	497	17	83
III. SHORE FACILITIES AND AIDS TO NAVIGATION:									
A. SHORE - GENERAL:									
1. MINOR AC&I SHORE CONSTRUCTION	76	4,000	946	833	301	84	1,540	63	233
2. SURVEY AND DESIGN - SHORE FACILITIES	74	4,100	504	340	80	39	2,682	34	421
B. SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:									
1. NEW YORK, NY - SUPPORT CENTER ELECTRICAL DISTRIBUTION SYSTEM RENOVATION	77	3,400	818	1,090	231	53	1,034	44	130
C. SHORE - TRAINING FACILITIES:									
1. PETALUMA, CA - TRAINING CENTER - MOVING AND OUTFITTING FOR ELECTRONICS SCHOOL	78	1,000	236	210	112	21	345	16	60
2. YORKTOWN, VA - RESERVE TRAINING CENTER (RTC) - CONSTRUCT MEDICAL/DENTAL BUILDING	79	2,400	567	505	190	48	907	39	144
D. SHORE - PERSONNEL SUPPORT FACILITIES:									
1. PETALUMA, CA - TRAINING CENTER - UNACCOMPANIED PERSONNEL HOUSING (UPH) AND DINING FACILITY	80	12,200	3,082	2,566	270	251	5,195	106	730
2. PUBLIC FAMILY HOUSING	81	8,500	2,011	1,770	165	179	3,776	103	496
E. SHORE - GROUPS/BASES/STATIONS/MSOS:									
1. KETCHIKAN, AK - BASE RENOVATION - PHASE I	82	3,000	1,037	381	130	332	855	8	257
2. SOUTH PORTLAND, ME - BASE MOORING IMPROVEMENT	83	5,000	1,729	468	218	553	1,592	13	427
3. LORAIN, OH - REPLACE STATION BUILDING	84	1,900	1,135	123	89	46	399	...	108
4. GEORGETOWN, SC - CONSTRUCT PERMANENT STATION	85	2,100	1,255	135	99	51	441	...	119

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Acquisition, Construction, and Improvements: 69-0240-0-1-403
(Dollars in thousands)

	PAGE NUMBER	TOTAL REQUEST	SAR	ATON	MS	MEP	ELT	IO	DR
III. **SHORE FACILITIES AND AIDS TO NAVIGATION:** (continued)									
F. AIDS TO NAVIGATION FACILITIES:									
1. LIGHTHOUSE AUTOMATION AND MODERNIZATION PROJECT (LAMP)........	86	1,400	...	1,400	...	...	...	...	...
2. WATERWAYS AIDS TO NAVIGATION PROJECTS........	87	2,000	...	2,000	...	...	...	...	...
Subtotal Shore Facilities and Aids to Navigation Facilities........		51,000	13,320	11,821	1,885	1,657	18,766	426	3,125
IV. **PERSONNEL AND RELATED COSTS**........	88	24,000	2,982	2,283	144	221	15,713	190	2,467
SUMMARY AC&I:									
Subtotal Vessels........		900	111	75	18	8	587	8	93
Subtotal Command Control and Communications........		1,200	250	212	119	22	497	17	83
Subtotal Shore Facilities and Aids to Navigation Facilities........		51,000	13,320	11,821	1,885	1,657	18,766	426	3,125
Personnel and Related Costs........		24,000	2,982	2,283	144	221	15,713	190	2,467
TOTAL FY 1987 AC&I REQUEST........		77,100	16,663	14,391	2,166	1,908	35,563	641	5,768

NOTE: Estimated future costs shown on the following sheets are Coast Guard planning figures and do not reflect approved budget estimates.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1987[1/]
(Dollars in thousands)

Appropriation: Acquisition, Construction, and Improvements

	1985 Actual		1986 After Sequestration		1986 Adjusted		1987 Estimate	
Program by activities:	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount
1. Search and Rescue	99	71,780	78	34,298	78	34,298	115	16,663
2. Aids to Navigation	79	57,466	68	34,164	68	34,164	100	14,391
3. Marine Safety	5	4,657	5	6,169	5	6,169	16	2,166
4. Marine Environmental Protection	10	7,805	16	5,984	16	5,984	11	1,908
5. Enforcement of Laws and Treaties	289	204,510	302	106,510	302	106,510	242	35,563
6. Ice Operations	2	1,082	10	4,286	10	4,286	4	641
7. Defense Readiness	37	26,900	42	16,545	42	16,545	37	5,768
Personnel and Other Costs	...	...	...	(18,422)	...	(19,250)	...	...
Total appropriation or estimate	521	374,200	521	207,956	521	207,956	525	77,100
(Military)	(297)	...	(297)	...	(297)	...	(297)	...
(Civilian)	(224)	...	(224)	...	(224)	...	(228)	...

[1/] This table reflects the amounts appropriated or the estimate for each activity of this appropriation.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Acquisition, Construction, and Improvements: 69-0240-6-1-403
(Dollars in thousands)

	FY 1986 ENACTED	FY 1986 AFTER SEQUESTRATION	FY 1986 ADJUSTED	FY 1987 ESTIMATE
I. VESSELS:				
A. ACQUIRE VESSELS AND EQUIPMENT:				
1. SURVEY AND DESIGN - BOATS AND CUTTERS..........	1,500	1,435	1,429	900
B. REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS:				
1. 378-FOOT HIGH ENDURANCE CUTTER (WHEC) - FLEET RENOVATION AND MODERNIZATION (FRAM)....	58,300	55,793	55,548	...
2. WESTWIND SAFETY AND SUPPORTABILITY UPGRADE.....	5,100	4,881	4,859	...
Subtotal Vessels.................................	64,900	62,109	61,836	900
II. AIRCRAFT:				
A. ACQUIRE NEW AIRCRAFT AND INCREASE AVIATION CAPABILITY:				
1. SHORT RANGE RECOVERY(SRR) HELICOPTERS (HH-65A) PROCUREMENT ESCALATION/SUPPORT......	24,000	22,968	22,868	...
2. HC-130 OUTER WING REPLACEMENT...................	1,000	957	953	...
3. HU-25A SPARES PROVISIONING......................	12,000	11,484	11,434	...
Subtotal Aircraft................................	37,000	35,409	35,255	...
III. COMMAND, CONTROL AND COMMUNICATIONS AND RELATED SYSTEMS:				
1. STANDARD TERMINALS FOR VESSELS - PHASE II......................................	3,600	3,444	3,430	...
2. DILLINGHAM, AK - NORTHERN BRISTOL BAY VHF-FM COVERAGE.............................	500	479	476	...
3. INFORMATION RESOURCE MANAGEMENT SYSTEMS........	1,500	1,436	1,429	900
4. STANDARD AUTOMATED ACCOUNTING SYSTEM (SAAS) - PHASE II..................................	2,000	1,914	1,906	
5. SURVEY AND DESIGN - COMMAND, CONTROL AND COMMUNICATIONS..............................	...	...	...	300
Subtotal Command, Control and Communications.......	7,600	7,273	7,241	1,200

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Acquisition, Construction, and Improvements: 69-0240-6-1-403
(Dollars in thousands)

	FY 1986 ENACTED	FY 1986 AFTER SEQUESTRATION	FY 1986 ADJUSTED	FY 1987 ESTIMATE
IV. SHORE FACILITIES AND AIDS TO NAVIGATION:				
A. SHORE - GENERAL:				
1. MINOR AC&I SHORE CONSTRUCTION PROGRAM..........	6,910	6,613	6,584	4,000
2. SURVEY AND DESIGN - SHORE FACILITIES...........	4,750	4,546	4,526	4,100
B. SHORE - AIR STATIONS:				
1. TRAVERSE CITY, MI - AIR STATION - GROUNDWATER PURGING.......................................	1,800	1,723	1,715	...
C. SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:				
1. KODIAK, AK - SUPPORT CENTER - REPLACE HEALTH CARE FACILITY................................	6,400	6,125	6,098	...
2. ALAMEDA, CA - SUPPORT CENTER - REPLACE SEAWALL AND PROVIDE MOORINGS...............	8,300	7,943	7,908	...
3. NEW YORK, NY - SUPPORT CENTER ELECTRICAL DISTRIBUTION SYSTEM RENOVATION..............	...	...	...	3,400
4. SEATTLE, WA - SUPPORT CENTER - RENOVATE SUPPORT CENTER - PHASE I...................	3,850	3,684	3,668	...
D. SHORE - TRAINING FACILITIES:				
1. PETALUMA, CA - TRAINING CENTER - ET/TT INSTRUCTION BUILDING.................	14,200	13,589	13,530	...
2. PETALUMA, CA - TRAINING CENTER - MOVING AND OUTFITTING FOR ELECTRONICS SCHOOL...........	...	...	...	1,000
3. YORKTOWN, VA - RESERVE TRAINING CENTER (RTC) - CONSTRUCT MEDICAL/DENTAL BUILDING...........	...	...	...	2,400
E. SHORE - PERSONNEL SUPPORT FACILITIES:				
1. MINOR AC&I SHORE CONSTRUCTION PROGRAM - UNACCOMPANIED PERSONNEL HOUSING (UPH)......	940	900	896	...
2. PUBLIC FAMILY HOUSING........................	10,000	9,570	9,528	8,500
3. PETALUMA, CA - TRAINING CENTER - UNACCOMPANIED PERSONNEL HOUSING (UPH) AND DINING FACILITY.	...	...	...	12,200

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Acquisition, Construction, and Improvements: 69-0240-6-1-403
(Dollars in thousands)

	FY 1986 ENACTED	FY 1986 AFTER SEQUESTRATION	FY 1986 ADJUSTED	FY 1987 ESTIMATE
IV. SHORE FACILITIES AND AIDS TO NAVIGATION: (CONTINUED)				
F. SHORE - GROUPS/BASES/STATIONS/MSOS:				
1. KETCHIKAN, AK - BASE RENOVATION - PHASE I.....	...	...	...	3,000
2. LONG BEACH, CA - 270-FOOT WHEC WEST COAST SHORESIDE SUPPORT..........................	5,900	5,646	5,622	...
3. SAN FRANCISCO, CA - STATION FORT POINT - WAVE SUPPRESSION SYSTEM......................	2,300	2;201	2,191	...
4. SOUTH PORTLAND, ME - BASE MOORING IMPROVEMENT.				5,000
5. GRAND HAVEN, MI - SEASONAL FACILITIES CONSOLIDATION..............................	2,200	2,105	2,096	...
6. SHORT BEACH, NY - REBUILD STATION............	2,700	2,584	2,573	...
7. LORAIN, OH - REPLACE STATION BUILDING.........	...	...	...	1,900
8. GEORGETOWN, SC - CONSTRUCT PERMANENT STATION..	...	...	...	2,100
G. AIDS TO NAVIGATION FACILITIES:				
1. LIGHTHOUSE AUTOMATION AND MODERNIZATION PROJECT (LAMP)................................	2,000	1,914	1,906	1,400
2. MINOR AIDS TO NAVIGATION SOLAR POWER CONVERSION.............................	1,300	1,244	1,239	...
3. WATERWAYS AIDS TO NAVIGATION PROJECTS.........	2,700	2,584	2,573	2,000
4. DEMOPOLIS,AL - UPDATE AIDS TO NAVIGATION FACILITY......................................	2,000	1,914	1,906	...
5. PORT CLARENCE, AK - RELOCATE LORAN STATION....	3,100	2,967	2,954	...
6. PEORIA, IL - CONSOLIDATE AIDS TO NAVIGATION FACILITY......................................	1,700	1,627	1,620	...
7. NEW ORLEANS, LA - VESSEL TRAFFIC SYSTEM (VTS) SURVEILLANCE - PHASE II......................	3,100	2,967	2,954	...
8. ANTENNA REPLACEMENT FOR LORAN STATION YAP.....	1,700	1,627	1,620	...
9. LORAN-C SOLID STATE TRANSMITTER SITE PREPARATION...................................	700	670	667	...
Subtotal Shore Facilities and Aids to Navigation Facilities................................	88,550	84,743	84,374	51,000
V. PERSONNEL AND RELATED COSTS...........................	19,250	18,422	19,250	24,000
SUMMARY AC&I:				
Subtotal Vessels..................................	64,900	62,109	61,836	900
Subtotal Aircraft.................................	37,000	35,409	35,255	...
Subtotal Command, Control and Communications.......	7,600	7,273	7,241	1,200
Subtotal Shore Facilities and Aids to Navigation Facilities................................	88,550	84,743	84,374	51,000
Personnel and Related Costs........................	19,250	18,422	19,250	24,000
TOTAL AC&I..................................	217,300	207,956	207,956	77,100

FISCAL YEAR 1987 BUDGET ITEM NO	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE SURVEY AND DESIGN OF VARIOUS ACTIVITIES		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $ 5,300,000

Reason for Request: Advance surveys, design and planning in 1987 are required to insure efficient and effective execution of major projects in future years. The projects for which this preliminary work must be accomplished are part of the long range plans for facility renovations, replacements and expansions.

Description of Existing Facility: Survey and design funds are required to plan effective aircraft, vessel, and electronics procurement, shore construction projects and to ensure timely accomplishment of projects consistent with the year in which funds are appropriated. FY 1987 survey and design funds will be used for advance engineering studies, the design of future major capital projects and additional contractual architectural/engineering efforts to supplement in-house capability. The program also provides for feasibility studies and preliminary and contract design for future construction and major alterations to vessels. Funds will also be used for site surveys, options and the purchase of real property to insure availability for future construction.

Description of Replacement Facility: This is a continuing project and does not differ except in scope from the existing project.

Benefits: This project provides necessary land, studies, surveys, plans and designs to maximize timely and effective use of Acquisition, Construction and Improvements funds when appropriated and provides the additional architectural/engineering efforts to supplement in-house capability.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Survey and Design of Various facilities	1980	3,317
Survey and Design of Various facilities	1981	6,925
Survey and Design of Various facilities	1982	6,700
Survey and Design of Various facilities	1983	5,220
Survey and Design of Various facilities	1984	9,630*
Survey and Design of Various facilities	1985	6,250
Survey and Design of Various facilities	1986	5,981

SUMMARY ($000)

AMOUNT OF THIS REQUEST	5,300
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	60,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

*Includes $3,080,000 added through the FY 1984 Department of Defense Appropriation.

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Survey and Design - Boats and Cutters	LS	—	900
2.	Survey and Design - C3	LS	—	300
4.	Survey and Design - Shore	LS	—	4,100
		TOTAL		5,300

DEPT. OF TRANSP., USCG, CGHQ-4355 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO IIA2	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**		
PROJECT TITLE INFORMATION RESOURCES MANAGEMENT SYSTEMS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $900,000

Reason for Request: To continue a multi-year program to define a mid-level (District) integrated data information system and to develop a pilot site with application software. This mid-level computer will complete the balance between current micro and main frame processing levels, and provide a capability to share data among systems and avoid redundant data handling and collection.

Description of Existing Facility: Independent data bases, involving personnel, financial, operational and administrative information, exist and run on many different and not necessarily compatible machines. This is the result of the decentralized development of different information systems by users to satisfy individual program needs. No minicomputer capacity exists to support district/regional processing needs. Current facilities provide only low end (micro) or high end (main frame) capacity.

Description of Replacement Facility: The eventual replacement facility will be an integrated data information system that optimizes the needs of all users incorporating the best mix of multi-level automated and manual systems. This project will deliver a preliminary plan of how such a system can be tied together from existing and future Distributed Computing System (DCS) system hardware and software acquisitions. Work began in FY 1986 to design the Information Architecture Plan (IAP) necessary to procure a prototype minicomputer facility. The FY 1987 phase will develop application software for the district pilot site of the DCS.

Benefits: The plan and pilot applications will standardize data definitions and procedures, reduce information burden, eliminate repeated capture of data, eliminate inconsistencies due to time-lag in data receipt, plan data capture at a source by automated means, eliminate duplication of information system development work, and allow sharing of knowledge and experience for building information systems.

OPERATIONAL STAFFING (NON-AC&I FUNDED)	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Information Resources Management Systems	1986	1,436

SUMMARY ($000)	
AMOUNT OF THIS REQUEST	900
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	6,400
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Phased development of IAP and application development for pilot district office	LS	1	900
		TOTAL		900

DEPT. OF TRANSP., USCG, CGHQ-4263 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO. IIIA1	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**	
PROJECT TITLE MINOR AC&I SHORE CONSTRUCTION PROJECTS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $ 4,000,000

Reason for Request: With the overall size of the Coast Guard shore plant, a continuing requirement exists to address a number of relatively small maintenance projects. Often if action can be taken in a timely fashion, considerable cost benefits and productivity improvements can be realized by completing the entire scope of the project at one time in lieu of incremental replacement or renewal.

Description of Existing Facility: Various Shore Facilities will be involved.

Description of Replacement Facility: The following are types of improvements which will be accomplished under this program:

a. Improvements to enhance efficiency of operating systems.
b. Expansion of facilities to accommodate incremental growth.
c. Improvement of working conditions and morale and recreation facilities for Coast Guard Personnel.
d. Replacement of deteriorating waterfront facilities.
e. Improvements for safety of Coast Guard personnel.
f. Replacement of deteriorating and inadequate UPH facilities.

The overall cost for any particular project is limited to a maximum of $600,000.

Benefits: Benefits include increased efficiency and effectiveness for Coast Guard operating facilities, improved productivity due to habitability improvements, improved safety and occupational health working conditions for Coast Guard personnel, and protection of investment through waterfront improvements.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Minor AC&I Shore Construction	1980	3,000
Minor AC&I Shore Construction	1981	5,500
Minor AC&I Shore Construction	1982	10,880
Minor AC&I Shore Construction	1983	7,580
Minor AC&I Shore Construction	1984	7,580
Minor AC&I Shore Construction	1985	7,093
Minor AC&I Shore Construction	1986	6,613

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	53,800
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Minor AC&I shore construction projects	LS	—	4,000
		TOTAL		4,000

DEPT. OF TRANSP., USCG, CGHQ-4355 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO IIIB1	ACQUISITION. CONSTRUCTION. AND IMPROVEMENTS	
PROJECT TITLE NEW YORK, NY - SUPPORT CENTER ELECTRICAL DISTRIBUTION SYSTEM RENOVATION	NEAREST CITY & CONGRESSIONAL DISTRICT NEW YORK, NY - 19TH	AMOUNT REQUESTED $3,400,000

Reason for Request: This project will alleviate the overloading of existing electrical service feeders to Support Center New York, and will provide adequate electrical distribution to accommodate present and future loads.

Description of Existing Facility: The existing electrical feeder system on the Support Center is a 1950's infrastructure that the Coast Guard acquired from the Army. The system is overloaded due to current demands and cannot accommodate anticipated future projects. This is a particular problem during the summer months wher excessive voltage drops and power outages have been experienced.

Description of Replacement Facility: The project consists of: installation of two 27,000 volt service feeders to the Support Center, construction of a switchgear building, installation of transformers, installation of switchgear, and upgrading of the distribution system, ductbanks, cable, and switches.

Benefits: The Support Center will possess a service and distribution system network that will provide reliabl and sufficient power for present and future demands. Increased capacity will allow for the maintenance of the system without cutting power to portions of the Support Center.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	30	19	224	362	635*
PLANNED		NO CHANGE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Logistics Support Facility - II	1981	1,938**
Logistics Support Facility - II	1982	2,130
Repair Ferry Slip	1982	1,300
New Firehouse	1984	1,307
Logistics Support Facility - PH III	1984	1,200
Ferry Boat (COURSEN & MINUE) Rehabilitation	1985	3,400

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,400
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	15,900

NOTES:

* Support Center Staff Only.
** Funds reprogrammed in FY 1981 to renovate Supply Center New York Bldg 515.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Electrical service feeders to Governors Island	LS	—	1,455
2.	Construct Switchgear Building	LS	—	300
3.	Provide transformers	LS	—	850
4.	Provide Switchgear	LS	—	400
5.	Upgrade distribution system	LS	—	395
		TOTAL		3,400

DEPT. OF TRANSP., USCG, CGHQ-4365 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

ISCAL YEAR 1987
UDGET ITEM NO [illegible]

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE
PETALUMA, CA – TRAINING CENTER –
OUTFITTING FOR ELECTRONICS SCHOOL

NEAREST CITY & CONGRESSIONAL DISTRICT: PETALUMA, CA 2ND

AMOUNT REQUESTED: $1,000,000

Reason for Request: Funding is required for outfitting associated with the construction of a new electronics training facility at Training Center Petaluma, California. The current electronics training center at Governors Island, New York will be relocated to Petaluma when construction is completed during fiscal year 1987.

Description of Existing Facility: The current building at Governors Island is a pre-World War II structure of approximately 125,000 square feet. This facility, though modified into classrooms and labs, does not lend itself to effective utilization of complex technical hardware required to train electronics technicians. Much of the existing lab and classroom furniture and training aids have been modified to fit in the cramped spaces of the existing building. In addition most of the existing lab furniture and hardware has been used beyond its normal service-life in anticipation of relocation to a new building.

Description of Replacement Facility: The new classroom building is approximately 90,000 square feet. It is designed to efficiently meet physical requirements for the school with adequate utilities to support extensive electronic equipment. By design, labs and classrooms of the facility can be modified as Coast Guard mission and hardware change. Complex LORAN transmitters now located in crowded, inefficient labs at Governors Island will be moved into new, accessible training spaces at Petaluma.

Benefits: Intense overcrowding will be eased at Governors Island as over 600 personnel (staff, dependents, and students) relocate to Petaluma. A dedicated training environment will enhance learning and reduce student attrition, resulting in decreased personnel acquisition costs. The improved teaching facility will encourage high performing senior ETs to request instructor assignments.

OPERATIONAL STAFFING (NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	20	10	169	51	260
PLANNED	23	20	350	59	452*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct BOQ/CPOQ	1984	3,900
Construct Family Housing – Phase I	1985	3,700
Construct ET/TT Classroom Building	1986	13,589
Construct Family Housing – Phase II	1986	4,881

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS – THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS – THIS FACILITY	6,800

NOTES:

* This increase is due to the relocation of ET/TT School and the Leadership and Management School to TRACEN Petaluma.

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	ET/TT School Outfitting	LS	—	1,000
		TOTAL		1,000

DEPT. OF TRANSP. USCG. CGHQ-4283 (REV. 3-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO 11102	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
YORKTOWN, VIRGINIA - RESERVE TRAINING CENTER - CONSTRUCT MEDICAL/DENTAL BUILDING	YORKTOWN, VA - 1ST	$2,400,000

Reason for Request: Reserve Training Center's medical dental facility does not meet contemporary standards for ambulatory health centers. The building is a fire hazard and is too small for the patient load. It also requires excessive energy and maintenance expense.

Description of Existing Facility: The facility is a wood-frame structure built prior to World War II. It has insufficient laboratory facilities, undersized storage areas, and is difficult to keep sanitary. No gender-specific spaces are available for inpatients or watchstanders. Current electrical loads exceed the capacity of aging wiring systems.

Description of Replacement Facility: The new facility will be replacement-in-kind and allow the same levels of patient care. It will be a 12,400 square foot, steel frame/masonry structure. The design and space (patient and staff) allocations will be based on current medical standards. It will accommodate the physically handicapped.

Benefits: In-house medical care is more cost effective than commercial contracted medical care in the Yorktown area. The new facility will result in reduced energy and maintenance costs of $60,000 a year, reduced fire hazard and resultant risk of building loss and danger to personnel. A modern, organized and sanitary facility will provide improved health care to permanent party and approximately 7,500 students annually.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	57	19	425	55	556
PLANNED		NO CHANGE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct classroom building	1981	5,439
Construct senior student berthing	1982	6,700
Construct DM/DC lab and classroom	1982	4,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,400
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	5,600

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Construct medical/dental building	SF	12,400	1,537
2.	Site development, utilities	LS	—	313
3.	Equipment, furnishings	LS	—	550
		TOTAL		2,400

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO IIID1	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
PETALUMA, CA - TRAINING CENTER UNACCOMPANIED PERSONNEL HOUSING (UPH) AND DINING FACILITY	PETALUMA, CA - 2ND	$12,200,000

Reason for Request: Provide adequate housing and dining facilities for students assigned primarily to the Electronics Technician (ET) and Telephone Technician (TT) Schools. These schools will move from Governors Island, NY to Petaluma, CA as part of a service-wide plan to improve the overall effectiveness of the Coast Guard training system.

Description of Existing Facility: Funding was provided in FY 1986 for construction of the Electronics Technician/Telephone Technician Classroom Building. Upon completion and occupation of the ET/TT Classroom Building, there will be insufficient housing and dining facilities at Training Center Petaluma to support the additional students. The remoteness of the training Center and relatively short training courses make it impractical for students to locate their own housing. For the same reasons, government leased housing also can not be obtained.

Description of Replacement Facility: New construction will provide unaccompanied personnel housing for ET/TT students. In addition, the existing dining facility will be renovated/expanded to accommodate the increasing number of students.

Benefits: Provide adequate berthing, dining and recreational space for students at Training Center Petaluma where satisfactory alternative housing is not available. Complete a dedicated training environment, which will enhance learning and reduce student attrition, resulting in decreased personnel acquisition costs. Ensures timely utilization of the ET/TT classroom building.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	20	10	169	51	260
PLANNED	23	18	320	59	420

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct Fire Station	1982	288
Construct General Classroom Building	1984	9,500
Construct BOQ/CPOQ	1984	3,900
Construct Family Housing Phase I	1985	3,700
Construct ET/TT Classroom Building	1986	13,589
Construct Family Housing Phase II	1986	4,881

SUMMARY ($000)

AMOUNT OF THIS REQUEST	12,200
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	6,800

NOTES

* This change in personnel staffing reflects the relocation of ET/TT School and the Leadership and Management School to Petaluma. There is no net increase of personnel resulting from this project.

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Site Improvements	LS	—	120
2.	Site Development	LS	—	1,300
3.	Exterior Utilities	LS	—	560
4.	Buildings:			
	a. UPH Facility	SF	84,000	8,415
	b. Dining Facility, renovation/expansion	LS	—	860
5.	Outfitting	LS	—	945
		TOTAL		12,200

DEPT OF TRANSP USCG CGHQ-4263 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO. [illegible]	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE PUBLIC FAMILY HOUSING	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $8,500,000

Reason for Request: Funds are required to continue to provide adequate family housing in certain duty areas in the U. S. and overseas where the housing supply is insufficient or inadequate to meet the minimum requirements of Coast Guard assigned personnel. Coast Guard owned housing is acquired only where other alternatives are not available, inadequate, or not cost effective.

Description of Existing Facility: Based on criteria in OMB circular A-18, locations named below are found to lack sufficient, adequate community housing resources for rent or purchase by assigned personnel or for Coast Guard lease. Adequacy criteria consider cost and suitability elements (size, bedrooms, condition) as well as commuting factors (time, distance, cost). Government housing is also unavailable in sufficient quantity.

Description of Replacement Facility: In 1987, this program, based upon the candidate projects listed below, will provide approximately 44 units of family housing. Final selection of the sites and the maximum number of units to be constructed on those sites will depend on progress in land acquisition, market conditions, and construction bidding conditions. Where feasible, joint construction with other government agencies and/or renovation of existing housing will continue to be undertaken. The projects listed below are representative of those which will comprise the FY 1987 Public Family Housing Program.

Benefits: This additional housing will reduce the number of Coast Guard personnel inadequately housed and enable Coast Guard mission performance to proceed without Coast Guard personnel inconvenience from the housing shortage/inadequacy. This project will result in an improved quality of life for Coast Guard personnel and their dependents.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	0	3	69	89	161*
PLANNED	0	3	74	89	166**

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct/Purchase Approximately 61 Units	1981	5,040
Construct/Purchase Approximately 44 Units	1982	6,690
Construct/Purchase Approximately 43 Units	1983	5,700
Construct/Purchase Approximately 55 Units	1984	7,174
Construct/Purchase Approximately 55 Units	1985	7,174
Construct/Purchase Approximately 90 Units	1986	9,570

SUMMARY ($000)

AMOUNT OF THIS REQUEST	8,500
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	60,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:
* Personnel strength includes only those personnel directly associated with operation and maintenance of Coast Guard owned housing sites.
** Assumes increased maintenance will be contracted.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Support Center Kodiak, AK	EA	30	6,400
2.	Support Center, NY	EA	14	2,100
		TOTAL		8,500

DEPT. OF TRANSP., USCG, CG-4283 (REV. 8-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987
BUDGET ITEM NO IIIE1

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
KETCHIKAN, AK - BASE RENOVATION - PHASE I	KETCHIKAN, AK - 1ST	$3,000,000

Reason for Request: To replace the existing Unaccompanied Personnel Housing (UPH) structure at Base Ketchikan, AK.

Description of Existing Facility: This UPH building is of wood construction, poorly insulated, energy inefficient, and has serious structural defects and electrical wiring deficiencies. Severe problems exist with its foundation; differential settlement and weak footings are the most significant. The structure has buckled at one end and the girders are compressing. Surface runoff and groundwater have caused increased deterioration of the building. The danger of fire and lack of escape routes has led to the establishment of a roving patrol every thirty minutes, and the placement of chain escape ladders at every upper-story window.

Description of Replacement Facility: Phase I will construct an Unaccompanied Personnel Housing (UPH) complex of 13,627 Square Feet for 40 permanent personnel, a duty officer, and 9 watchstanders/transients.

Benefits: This construction will eliminate dangerous, substandard personnel support spaces which are in violation of Life Safety Codes. Further, it will eliminate the potential danger of fire spreading to other structures which would cause widespread damage to the base.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	6	5	85	19	115
PLANNED		NO CHANGE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	4,600
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	1,100

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Site improvement	LS	—	284
2.	Exterior	LS	—	339
3.	Buildings	LS	—	2,050
4.	Outfitting	LS	-	327
		TOTAL		3,000

DEPT. OF TRANSP. USCG CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO. [illegible]	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
SOUTH PORTLAND, ME – BASE MOORING IMPROVEMENT	PORTLAND, ME – 1ST	$5,000,000

Reason for Request: To renovate and improve the mooring facilities at Base South Portland. These facilities provide moorings for 5 cutters, 4 boats, and a large navigational buoy.

Description of Existing Facility: The present piers at Base South Portland were built over 50 years ago. The sheet pile bulkhead has eroded and loss of fill has led to pier and wharf settlement with some caving-in. the configuration of the piers is restrictive and requires numerous shifts to accommodate vessel arrivals and departures. Electrical shore ties for small boats are not adequate. The area has shoaled, reducing navigable area and limiting vessel arrivals and departures. Portions of the pier are unusable during winter sea and ice conditions.

Description of Replacement Facility: All deteriorated sheet steel pile bulkheads will be replaced. The slip between the piers will be widened to allow vessels to get underway without requiring other moored vessels to shift berths. The west pier will be extended in length to provide adequate mooring space. In addition, the approaches to the moorings will be dredged. Pilings will be driven and navigational markers provided to facilitate vessel mooring.

Benefits: This project will renew the moorings while decreasing maintenance requirements. Small boats will be protected from adverse weather. Safety and environmental problems will be corrected. Operational response will be improved.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	1	2	43	25	71
PLANNED		NO CHANGE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	5,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS – THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS – THIS FACILITY	3,700

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Demolition, excavation, dredging, fill	LS	—	364
2.	Fender system and paving	LS	—	600
3.	Two [illegible]-pile dolphins, two channel markers, 5-pile covered moorings, floating piers, boat building	LS	—	498
4.	Utilities	LS	—	143
5.	Sheet Pile	Ton	2,281	3,343
6.	Temporary relocation of vessels while work is in progress	LS	—	52
		TOTAL		5,000

DEPT. OF TRANSP. USCG CGHQ-4361 (REV. 4-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987
BUDGET ITEM NO IIIE3

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
LORAIN, OHIO - REPLACE STATION BUILDING	LORAIN, OHIO - 13TH	$1,900,000

Reason for Request: Funds are requested to replace the existing facility at Lorain, Ohio. Station Lorain is deteriorated and lacks inadequate space to the point of adversely affecting Coast Guard operations along a 25 mile portion of Lake Erie. There is no provision for the accommodation females and the existing structure cannot be modified to accommodate them. Present site is experiencing erosion which must be checked by new bulkheading.

Description of Existing Facility: The facility is 46 percent deficient in space required by current standards and 43 percent below staffing standards. Berthing area provides individuals with 48 square feet of living space versus 113 square feet as per standards. The basement constantly floods. This situation cannot be corrected due to terrain; flooding has caused extensive rotting on floor joists and uneven settling of the foundation. The station, built in 1903, is not energy efficient and is extremely expensive to maintain. A nearby Taconite plant causes severe dust problems in these old, loosely constructed, and uninsulated buildings. The station is not adequately staffed due to space limitations.

Description of Replacement Facility: This project will provide a modern facility which meets current minimum standards with a total of approximately 12,700 square feet of multi-purpose space to support the facility's full personnel complement and provide proper support for the unit's boats. The new station building will provide adequate administrative space and operational spaces to supervise the unit's operational activities. Engineering spaces will provide for proper maintenance of the unit's 2 boats and the accommodation of equipment and parts necessary for adequate engineering support. Berthing will be provided for 60 percent of assigned non-rated personnel.

Benefits: Increase search and rescue mission effectiveness of a station which averages 266 cases, 26 lives saved, and $290,000 in property loss prevented. The new facility will improve boat maintenance and personnel effectiveness. It will also eliminate all safety violations and increase energy efficiency. Will avoid costs to control erosion that otherwise would be required at old site.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	0	0	16	0	16
PLANNED	0	0	28	0	28

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,900
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Demolition & site work	SF	44,000	122
2.	Waterfront replacement	LF	240	244
3.	Building & site construction	SF	12,691	1,426
4.	Outfitting & equipment	LS	—	108
		TOTAL		1,900

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 4-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR [illegible] BUDGET ITEM NO. [illegible]	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
GEORGETOWN, SC - CONSTRUCT PERMANENT STATION	GEORGETOWN, SC - 6TH	$2,100,000

Reason for Request: To construct a permanent station at Georgetown, SC which will replace existing houseboat facilities and allow collocation of the Aids to Navigation Team (ANT) Georgetown. Effective and efficient accomplishment of Coast Guard missions in the South Carolina area are hampered by the temporary houseboat arrangement.

Description of Existing Facility: Designed to support 12 personnel, the existing facility is an 18 year old houseboat on a leased site on Winyah Bay, just south of Georgetown. It supports 21 personnel, 2 below the staffing level necessary to properly accomplish the units operational tasking. The houseboat is past design life and requires excessive maintenance. The facility provides only 16 percent of standard square footage thereby inhibiting adequate support for operational (i.e. inadequate Reserve, shop and stowage space) needs. This deficiency in space also prevents assignment of females. ANT Georgetown is located at Light Station Georgetown, which is scheduled to be automated by the end of FY 1985. Upon closure, the ANT will relocate to the new station building.

Description of Replacement Facility: This project will provide permanent facilities for Station Georgetown and collocation of ANT Georgetown upon the automation of Light Station Georgetown. The permanent facility will consist of a new pier, a multi-purpose building which includes offices, a communications center, shops, berthing and dining facilities. Female accommodations will be provided.

Benefits: This project will provide a fully operational permanent multi-mission facility. Additional billets (future budget request) will reduce workload. It will allow the assignment of females and the collocation of ANT Georgetown. Improve Search and Rescue effectiveness of a station which averages 154 cases, 21 lives saved and $369,000 property loss prevented.

OPERATIONAL STAFFING (NON-AC&I FUNDED)	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	0	0	21	0	21
PLANNED	0	0	23	0	23

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,100
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Site Work	LS	—	575
2.	Waterfront	LS	—	317
3.	Antennas	LS	—	28
4.	Multi-purpose Building	SF	[illegible]	684
5.	Shops Complex	SF	1,600	266
6.	General Outdoor Storage	SF	900	[illegible]
7.	Emergency Power System	LS	—	44
8.	Outfitting	LS	—	177
		TOTAL		2,100

FISCAL YEAR 1987 BUDGET ITEM NO IIIF1	ACQUISITION. CONSTRUCTION. AND IMPROVEMENTS	
PROJECT TITLE LIGHTHOUSE AUTOMATION & MODERNIZATION PROJECT (LAMP)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $1,400,000

Reason for Request: Staffed light stations are an inefficient use of Coast Guard personnel and require continued logistics support, often at isolated locations. 2 staffed light stations will be automated and standard LAMP engineering systems will be installed at 3 lighthouses previously automated with non-standard, unsupportable equipment.

Description of Existing Facility: Since the beginning of the lighthouse automation program, over 375 staffed lighthouses have been automated. These automations have resulted in 285 billet reductions in the Coast Guard and a net savings of over $50 million to date, while many Coast Guard personnel have been relieved of the hardship of serving on isolated lighthouses. The Coast Guard still operates 32 staffed light stations, some of which are in isolated areas.

Description of Replacement Facility: Automated/modernized lighthouses have new signal, power and control equipment, which eliminates the need for attended operation and reduces costs. Critical lighthouses are monitored electronically from staffed Coast Guard units (e.g. Search and Rescue Stations). Additionally, this program has the goal of standardizing the equipment at lighthouses that were automated under different automation programs. As a result of 2 automations, 2 enlisted billets will be eliminated as a savings, and 3 enlisted billets will be reassigned to units responsible for lighthouse maintenance.

Benefits: The 2 billet reductions will result in a savings of $45,000 annually. Over 30 years, these 2 new automations will generate a savings in personnel costs alone that will be equal to 3 times the cost of the automation. Economies will be realized through the central procurement of equipment and the streamlining of training of maintenance personnel. Reduced logistics and energy costs will also be realized from automation. The reassignment of the 3 light station billets will contribute to lighthouse maintenance efforts in the First District.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	0	0	5	0	5
PLANNED	0	0	3	0	3

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Automate/modernize various lighthouses	1982	1,550
Automate/modernize various lighthouses	1983	2,450
Automate/modernize various lighthouses	1984	3,000
Automate/modernize various lighthouses	1985	3,700
Automate/modernize various lighthouses	1986	1,914

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,400
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	5,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Begin automations in the First Coast Guard District	EA	2	308
2.	Install standard systems in the First and Twelfth Coast Guard Districts	EA	3	416
3.	Central procurement of standard power, signal, and monitor equipment	LS	—	676
		TOTAL		1,400

FISCAL YEAR 1987 BUDGET ITEM NO [illegible]	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
WATERWAYS AIDS TO NAVIGATION PROJECTS	VARIOUS	$2,000,000

Reason for Request: Existing aids become inadequate for a variety of reasons and need to be improved and replaced periodically in order to fulfill changing maritime user requirements. New aids to navigation are established, as required, when the navigable waters of the U. S. are improved or extended by the Corps of Engineers.

Description of Existing Facility: Various aids to navigation projects will be involved in the FY 1987 waterways Program. Requirements for new or improved aids are identified from recommendations made by the Corps of Engineers, shipping community, pilot associations and local port authorities.

Description of Replacement Facility: Projects are based on Corps of Engineers designs on smaller projects which will improve service and make changes required as a result of acts of nature. Primary projects include the improvement of aids to navigation in Chesapeake Bay, and the approaches to Tampa, FL. All new and replacement aids are designed to low cost construction and maintenance specifications.

Benefits: These projects will help the Coast Guard meet the needs of national security and commerce by continuing to provide a safe and efficient system of aids to navigation. Difficult conditions in areas such as Upper Chesapeake Bay and the approaches to Tampa Bay will be improved, reducing the potential for tragic and costly accidents.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Waterways Aids to Navigation Projects	1981	7,632
Waterways Aids to Navigation Projects	1982	4,000
Waterways Aids to Navigation Projects	1983	10,000
Waterways Aids to Navigation Projects	1984	7,500
Waterways Aids to Navigation Projects	1985	4,500
Waterways Aids to Navigation Projects	1986	2,584

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	22,700
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Establish new aids, improve aids including ATON systems in Upper Chesapeake and Tampa Bay	14	-	2,000
		TOTAL		2,000

DEPT. OF TRANSP., USCG, CGHQ-4261 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1987 BUDGET ITEM NO VA	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
PERSONNEL AND RELATED COSTS	VARIOUS	$24,000,000

Reason for Request: Provide funding for salaries, travel and support of 525 billets and positions in the Acquisition, Construction, and Improvement (AC&I) program. Each new project requires planning, contracting, provisioning, and inspection and associated expenses which are necessary to ensure timely delivery of a quality product.

Description of Existing Facility: AC&I personnel and related expenses are independent of advance survey and design and are essential to effective and timely execution of the AC&I program. Expenses include:

a. Salaries of engineers, inspectors, and contracting, accounting and clerical personnel assigned to the program.
b. Personnel support costs reimbursed to the Coast Guard Operating Expense Appropriation (OE) (training personnel relocation costs, etc. refunded to OE on a standard cost basis).
c. Miscellaneous supplies, equipment and materials not identified with specific projects and travel and per diem costs of engineers, technicians, etc., required in pursuance of AC&I projects.

The AC&I staff provides for the execution of previously appropriated projects, and conducts necessary planning and other pre-award activities for projects contained in the FY 1987 and future appropriation requests.

Description of Replacement Facility: The programming of AC&I personnel is a continuous process. The authorized personnel strength of a given fiscal year is allocated to ongoing projects, new projects, and future project activities. As ongoing projects are completed, associated staff are reprogrammed to new project requirements. Cumulative project workload during FY 1987 will create a need for 50 new personnel resources, 46 of which will be met by reprogramming resources associated with prior year projects. The remaining new staffing requirement will be met through the requested personnel increase (4 civilian). New project activities supported by the requested staffing level include project and pre-award planning for the WAGB polar icebreaker and Medium Range Recovery (MRR) helicopter initiatives, and an increase in contracting personnel to enhance the efficiency and timeliness of capital acquisitions.

Benefits: This project expedites AC&I planning and contracting, and provides provisioning staffs, resident inspection offices (vessel/boat acquisitions), and aircraft program offices (aircraft acquisitions) with adequate resources to insure that acquisitions meet contract specifications and schedules.

AC&I PERSONNEL RESOURCES

	CURRENT	PLANNED
OFFICER	150	150
WARRANT OFFICER	48	48
ENLISTED	99	99
CIVILIAN	224	228
TOTAL POSITIONS	521	525
TOTAL FTE	516	516

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Personnel and related costs	1980	6,074
Personnel and related costs	1981	8,935
Personnel and related costs	1982	18,645
Personnel and related costs	1983	13,980
Personnel and related costs	1984	18,924
Personnel and related costs	1985	21,404
Personnel and related costs	1986	18,422

SUMMARY ($000)

AMOUNT OF THIS REQUEST	24,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	109,300
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Personnel compensation and benefits	LS	—	19,550
2.	Personnel support costs (standard cost reimbursements to OE)	LS	—	2,150
3.	Miscellaneous direct equipment, materials and supplies and travel and per diem	LS	—	2,300
		TOTAL		24,000

DEPT OF TRANSP. USCG. CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

The Coastal Defense Augmentation Account (P.L. 99-190) provides Department of Defense support for Coast Guard requirements for vessels, aircraft and equipment. The following sections contains detailed plans for these resources.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
DEPARTMENT OF DEFENSE COASTAL DEFENSE AUGMENTATION ACCOUNT (P.L. 99-190)
(Dollars in thousands)

	PAGE NUMBER	TOTAL REQUEST	FY 1986	FY 1987
I. **VESSELS:**				
A. ACQUIRE VESSELS AND EQUIPMENT:				
1. PATROL BOAT (WPB) REPLACEMENT PROGRAM - PROTOTYPE PHASE	92	56,000	40,600	15,400
2. 270-FOOT MEDIUM ENDURANCE CUTTER (WMEC) - PROCUREMENT	93	4,400	...	4,400
3. RIVER TENDER (WLR) REPLACEMENT - PHASE II	94	10,600	4,600	6,000
4. ACQUISITION OF REPLACEMENT MOTOR LIFEBOAT (MLB) - PROTOTYPE	95	1,500	...	1,500
5. DEPLOYABLE PORT SECURITY UNITS (PSU'S)	96	2,000	2,000	...
B. REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS:				
1. 210-FOOT MEDIUM ENDURANCE CUTTER (WMEC)- MID-LIFE MAINTENANCE AVAILABILITY (MMA)	97	42,300	25,800	16,500
2. 378-FOOT HIGH ENDURANCE CUTTER (WHEC) - FLEET RENOVATION AND MODERNIZATION (FRAM)	98	123,100	...	123,100
3. SEAGOING BUOY TENDER (WLB) SERVICE LIFE EXTENSION PROJECT (SLEP)	99	14,100	14,100	...
4. POLAR CLASS REPLACEMENT MAIN PROPULSION MONITORING AND CONTROL SYSTEM	100	2,200	...	2,200
SUBTOTAL VESSELS		256,200	87,100	169,100
II. **AIRCRAFT:**				
A. ACQUIRE NEW AIRCRAFT AND INCREASE AVIATION CAPABILITY:				
1. PROCURE MEDIUM RANGE RECOVERY (MRR) HELICOPTER REPLACEMENT	101	41,000	41,000	...
2. SHORT RANGE RECOVERY (SRR) HELICOPTER (HH-65A) SUPPORT	102	5,600	...	5,600
3. HU-25A SENSOR SPARES - PHASE I	103	2,900	...	2,900
4. HC-130 FORWARD LOOKING AIRBORNE RADAR (FLAR) - PHASE IV	104	44,525	33,525	11,000
SUBTOTAL AIRCRAFT		94,025	74,525	19,500

DEPARTMENT OF TRANSPORTATION
COAST GUARD
DEPARTMENT OF DEFENSE COASTAL DEFENSE AUGMENTATION ACCOUNT (P.L. 99-190)
(Dollars in thousands)

	PAGE NUMBER	TOTAL REQUEST	FY 1986	FY 1987
III. COMMAND, CONTROL AND COMMUNICATIONS:				
1. SECURE VOICE COMMUNICATIONS INSTALLATION - PHASE II....	105	6,400	4,800	1,600
SUBTOTAL COMMAND, CONTROL AND COMMUNICATIONS..........		6,400	4,800	1,600
AC&I SUMMARY:				
SUBTOTAL VESSELS..		256,200	87,100	169,100
SUBTOTAL AIRCRAFT...		94,025	74,525	19,500
SUBTOTAL COMMAND, CONTROL AND COMMUNICATIONS..................		6,400	4,800	1,600
TOTAL AC&I REQUEST......................		356,625	166,425	190,200
PUBLIC LAW 99-177 REDUCTION..................................		18,375	18,375	...
TOTAL COASTAL DEFENSE AUGMENTATION ACCOUNT.....................		375,000	184,800	190,200

FISCAL YEAR 1986 BUDGET ITEM NO. IA1	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
PATROL BOAT (WPB) REPLACEMENT PROGRAM	VARIOUS	$56,000,000

Reason for Request: To continue the replacement of Coast Guard's Cape and Point Class patrol boats, which will have met or exceeded their useful service lives in the early 1990s. This request will provide for the replacement of eight (8) patrol boats, one prototype and seven production craft.

Description of Existing Facility: 22 Cape Class (95-foot) patrol boats that range in age from 27 to 32 years and 53 Point Class (82-foot) patrol boats that range in age from 13 to 23 years are in service. 11 Cape Class patrol boats have exceeded their service lives. All 95-foot patrol boats have experienced some degree of structural failure - 4 have been decommissioned as a result of severe structural failure. All patrol boats have machinery that is unsupportable due to obsolescence.

Description of Replacement Facility: The replacement craft will be acquired in keeping with Congressional guidance as provided in the FY1986 Coastal Defense Augmentation account within Department of Defense appropriations. The replacement craft will meet the following criteria: endurance - 5 days, speed - approximately 30 knots, range 1,680 nautical miles. The vessel's design will be optimized to provide for the primary missions of Law Enforcement and Search and Rescue.

Benefits: Replacement cutters will have improved maintainability, reliability, and seakeeping, thereby improving overall mission performance by reducing casualty repair time and the adverse effects of fatigue on personnel.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	1/1	0/0	13/9	0/0	14/10*
PLANNED	2	0	16	0	18

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	56,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	100,000**
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	--

NOTES:

* 95 foot WPB manning level/82 foot WPB manning level
** Outyear costs are preliminary. Costs are dependent on ultimate fleet size and mix.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	One prototype and seven (7) production craft	LS	8	56,000

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

FISCAL YEAR 1986
BUDGET ITEM NO IA2

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
270-FOOT MEDIUM ENDURANCE CUTTER (WMEC) PROCUREMENT	VARIOUS	$4,400,000

Reason for Request: The contract for 270-foot Medium Endurance Cutters (WMEC), 5 through 13, provides for an annual price adjustment based on changes in established economic indices. This request is to fund the adjustment required for the year ending 1987.

Description of Existing Facility: The 270-foot WMECs will replace 13 overaged, technologically obsolete cutters which do not have helicopter capability. The cutters to be replaced are as follows: five 327-foot WHECs built in 1936-37 (BIBB, TANEY, INGHAM, DUANE, and CAMPBELL); 1 311-foot WHEC built in 1942 (UNIMAK); 1 213-foot WHEC built in 1943 (YOCONA); 3 180-foot WMECs built in 1942-44 (CITRUS, CLOVER AND EVERGREEN); and 3 205-foot WHECs built in 1939-45 (TAMAROA, CHEROKEE AND CHILULA).

Description of Replacement Facility:

Length - 270 feet
Beam - 38 feet
Draft - 14 feet
Displacement - 1,780 tons

Speed - 19.5 Knots Maximum
Range - 9,900 nautical miles at 12 knots
Propulsion - Two 3,500 Horsepower diesels
Helicopter Flight Deck and Hangar

The ship has been designed to modern habitability and environment standards. Electronics, automated engine room and communications equipment will be of the latest design. A Command, Display and Control System (COMDAC) will be installed to coordinate and process data from shipboard sensors.

Benefits: The helicopter flight deck, more modern capabilities and improved reliability of these vessels will result in more effective performance of Enforcement of Laws and Treaties, Search and Rescue, Defense Operations/Defense Preparedness, and Marine Environment Protection Response missions.

OPERATIONAL STAFFING (NON-AC&I FUNDED)	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	6/10	1/2	65/116	0	72/128*
PLANNED	9	3	88	0	100**

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
WMEC Cutter (fund ships #1-6)	1977-79	205,550
WMEC Cutter (fund ships #7-9)	1980	106,400
WMEC Cutter (fund ships #10)	1981	101,900
WMEC Cutter (fund ships #11-13)	1982	170,330
WMEC Cutter (contract costs ships #1-13)	1983	99,700
WMEC Cutter (contract costs ships #1-13)	1984	14,000
WMEC Cutter (contract costs ships #5-13)	1985	54,294

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,400
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	15,700
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES: * Data for current personnel strength show typical crews for vessels being replaced as follows: typical WMEC/typical WHEC
** Peacetime vessel allowance. Does not include aviation detachment.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Economic Price Adjustment Contract provision	LS	—	4,400
		TOTAL		4,400

DEPT OF TRANSP. USCG, CGHQ-4263 (REV 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO 1A3	ACQUISITION. CONSTRUCTION. AND IMPROVEMENTS		
PROJECT TITLE TWO (2) RIVER TENDER (WLR) REPLACEMENTS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $10,600,000

Reason for Request: The USCGC DOGWOOD servicing the Arkansas River and the USCGC LANTANA, servicing the lower middle Mississippi River are the only Coast Guard floating units within the area of operation on critical waterways which are not subject to commercial contracting. This request is to replace these 2 aging Second District WLRs.

Description of Existing Facility: Over the past 5 years, these cutters have required considerably more per year in operating and maintenance funds than the average WLR. Structural deterioration is the major factor limiting their remaining service lives. Rehabilitation and extension of these cutters service lives is not possible because of structural deterioration.

Description of Replacement Facility: The existing 75-foot WLR hull design is usable and will result in a substantial cost avoidance that is normally associated with the conceptual design phase of a new construction process. The 75-foot WLR has proven to be well suited to the working environment of the western river system.

Benefits: This request will provide improved response to the mariner through more reliable and efficient servicing of aids to navigation. The new vessels will be more effective and efficient due to its greater speed, more economical fuel consumption, and improved reliability. Maintenance costs are expected to decrease by approximately $40 thousand per year. The replacement will provide an improved quality of life (safety, working conditions, etc.) for the crew.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT (per cutter)..	0	1	18	0	19
PLANNED (per cutter)..	0	0	19	0	19

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	10,600
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT..................................	--
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY.................................	--

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Two River Tenders to service aids to navigation on the Western Rivers........	EA	2	9,400
2.	Related costs (Resident Inspection Office, provisioning)......................	LS	--	1,200
		TOTAL		10,600

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

ISCAL YEAR 1986 UDGET ITEM NO IA4	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE ACQUISITION OF REPLACEMENT MOTOR LIFEBOAT (MLB) PROTOTYPE	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $1,500,000

Reason for Request: To initiate a multi-year program to replace the Coast Guard's 44-foot Motot Lifeboat (MLB). FY 1987 funds will provide for the development, construction and evalaution of a MLB prototype with minimum, specific characteristics. This evaluation will serve to support the Coast Guard's decision regarding full production of a replacement MLB.

Description of Existing Facility: 105 44-foot MLBs are assigned to 77 multi-mission stations in every District except the Second, Eleventh, Fourteenth, and Seventeenth. At 35 of these stations it is the only major boat type assigned. In FY 1983, MLBs performed 5,611 sorties, about 12% of the total for boats, and saved 628 lives and $93 million in property. The first MLBs will reach the end of their 25 year designed service life in 1988. Their operating environment is perhaps the most severe for any Coast Guard resource; the boat is called upon to operate in heavy weather and surf conditions. Lack of sea kindliness and the semi-exposed conning station causes severe crew fatigue after a few hours underway thus greatly reducing crew vigilance and visual/electronic search effectiveness. The lifeboat design causes excessive rolling, which coupled with a lack of adequate fendering, means the MLB cannot be safely brought alongside another vessel to transfer a boarding party except in very calm seas thus rendering the MLB an unsuitable ELT platform.

Due to the vessel's extensive compartmentation (7 compartments, 2 voids) and steel construction, preventive maintenance is difficult and extensive. In 1980, an Ship Structure Machinery Evaluation Board (SSMEB) of three randomly selected MLBs showed evidence of material problems consistent with nearing the end of projected service life. Superstructures are rippling and cracking with severe corrosion of bolts that connect the superstructure to the deck. There is severe corrosion in the anchor locker, well deck void, lazarette, gunwale caps, and well deck. Complete rewiring and replumbing is required. Supply support is becoming more difficult and expensive. Some essential equipments such as doors, hatches, fire main valves, compartment heaters, and steering system components are no longer available. Other parts such as mufflers, D-ring fenders, valves, and air compressors require long lead time. The cumulative impact of these operational and structural shortcomings dictate a class wide replacement.

Description of Replacement Facility: The prototype is a conceptual design based on operational parameters provided by Districts and field units and is similar in size to the current MLB. The characteristics of the MLB are: Length - 46 feet, beam - 14 feet, draft - 4 feet, and displacement - 40,000 pounds. The physical parameters have been specifically designated to ensure compatibility with the existing maintenance and support infrastructure - no additional billets or expansion of physical facilities will be required to operate and maintain the replacement. A Sponsor's Requirement Document delineates the operational characteristics necessary to solve the age-related problems, and to enhance existing capabilities with a modern resource.

Benefits: Prototype will provide the means to test and evaluate physical and operational parameters for full-scale development and subsequent production of a new boat class to maintain the capability to perform in-shore mission response in heavy weather and surf conditions. Replacement boats will provide improvement to minimize crew fatigue and improve at-sea boarding for ELT applications; increased speed for more effective SAR response, especially in those areas where hyperthermia is a factor, and for other mission areas where speed is beneficial; reduced maintenance requirements; logistics support difficulties by providing a modern resource with an established central supply system.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,500
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	60,500*
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

*Outyear costs are preliminary. Costs are dependent upon the ultimate full production system.

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Design Model Testing	LS	—	160
2.	Prototype Construction	LS	—	1,130
3.	Trials and Modifications	LS	—	210
		TOTAL		1,500

DEPT. OF TRANSP., USCG, CGHQ-4205 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1988
BUDGET ITEM NO IA5

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
DEPLOYABLE PORT SECURITY UNITS (PSU's)	VARIOUS	$2,000,000

Reason for Request: Port Security is a statutory responsibility of the Coast Guard. Because of its unique expertise, the Coast Guard has been tasked by the Joint Chiefs of Staff (JCS) to provide Port Security Forces overseas with the necessary equipment to conduct operations in a deployed hostile environment (further details are classified). The Coast Guard is currently unable to meet these requirements because of lack of appropriate equipment.

Description of Existing Facility: The presence of Coast Guard PSUs are called for in a number of JCS approved Operations Plans. The necessary personnel have been identified to meet this responsibility. However, the units are unable to perform their assigned mission due to the absence of required specialized equipment not currently in the Coast Guard's inventory.

Description of Replacement Facility: This project will include complete outfitting of one PSU with boats and all other associated equipment for deployment. Additional boats will be purchased for training purposes.

Benefits: This project will result in a fully equipped Port Security Unit capable of deploying overseas for 60 days with support from major in theatre commands. It will enable the Coast Guard to meet a portion of existing Operations Plans requirements for these type forces.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	11	0	97	0	108
PLANNED	33	0	284	0	317

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

	YEAR	AMOUNT ($000)
AMOUNT OF THIS REQUEST		2,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT		3,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY		---

NOTES: *Communications equipment must be purchased this fiscal year due to DOD contracting restraints.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Boats with outfitting (1 PSU)	EA	7	1,050
2.	Additional Equipment Outfitting (1 PSU)	--	--	385
3.	Communications Equipment (3 PSUs)*	--	--	300
4.	Boats for training	EA	2	265
		TOTAL		2,000

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-86)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IB 1	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
210-FOOT MEDIUM ENDURANCE CUTTER (WMEC) MID-LIFE MAINTENANCE AVAILABILITY (MMA)	VARIOUS	$42,300,000

Reason for Request: 16 210-foot WMECs were built from 1963 to 1968. Main propulsion machinery and auxiliary equipment are non-standard, creating training and logistics problems. Habitability and reliability have declined over the years. This program will ensure that this class of cutter will remain mission capable and supportable in the second half of its service life.

Description of Existing Facility: The 210-foot WMEC has a beam of 24 feet, draws 10 feet and displaces 1,007 tons. It has a maximum speed of 18 knots at 5,000 shaft horsepower. Its maximum range is 6,100 miles at economical speed of 14 knots. Main propulsion is provided by 2 main diesel engines which drive 2 controllable pitch propellers via reduction gears. The 5 210-foot WMECs ("A" class) were built with a combined diesel and gas turbine engineering plant; the gas turbines have since been removed. 3 of the 16 cutters are homeported on the West Coast, and the remainder are on the East and Gulf Coasts.

Description of Replacement Facility: This multi-year project involves performing a major mid-life maintenance availability to provide increased fuel and water capacity, as well as improved damage control and seakeeping capabilities by lowering the center of gravity. 5 "A" class cutters will be re-engined. Electrical systems will be upgraded, auxiliary equipment standardized, the radio room modernized and berthing improved. The 5 "A" class cutters will be repaired in the Coast Guard Yard at Curtis Bay, MD and the remainder at commercial shipyard facilities.

Benefits: Overhaul, replacement and standardization of machinery will increase maintenance reliability. Improvements in onboard equipment and stability will enhance the vessel's mission performance, particularly in law enforcement. Improved reliability will result in an expected 16% increase in operational days away from homeport.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	7	1	63	0	71*
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
210-foot WMEC MMA LLTM	1982	6,000
210-foot WMEC MMA LLTM	1983	16,000
210-foot WMEC MMA LLTM, Cutter # A-1 (Partial), Production Material	1984	34,300**
210-foot WMEC MMA LLTM, Cutter # A-1 (Partial), Production Material	1985	15,050

SUMMARY ($000)

AMOUNT OF THIS REQUEST	42,300
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	116,500***
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

* Personnel allowance for the 210-foot WMEC.
** Includes $10,300,000 provided by the DOD Appropriations Act.
*** Out year estimates are tentative pending award of contract to commercial shipyard.

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Production/labor costs for cutters A-2, A-3 (partial), B-1, B-2, B-3	LS	-	35,000
2.	Annual contract and inspection costs for Naval Sea Systems Command	LS	-	4,200
3.	Travel and Ferry expenses			700
4.	Ship Inventory Control Point (SICP) provisioning (partial)	LS	-	2,400
		TOTAL		42,300

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IB2	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
378-FOOT HIGH ENDURANCE CUTTER (WHEC) FLEET RENOVATION AND MODERNIZATION (FRAM)	VARIOUS	$123,100,000

Reason for Request: Twelve 378-foot WHECs, built between 1965 and 1971, are approaching the mid-point of their useful service lives. They are experiencing declining reliability and an increasing ratio of maintenance days to operational days. This request is to continue the FRAM program with funding for cutters #6-8.

Description of Existing Facility: The main propulsion plant and associated machinery are not standard, creating fleet wide training and logistics problems. Many electronics sensors, and some communications and weapons systems, are obsolete, making logistics support difficult. There are presently 3 subclasses of 378-foot WHECs. The 378-foot cutter has a beam of 43 feet, a draft of 15 feet and displacement of 3,000 tons. It has the ability to steam on 2 main diesel engines at a maximum speed of 18 knots or on 2 gas turbine engines up to 29 knots. It has a maximum range of 14,000 miles at economical speed of 11 knots.

Description of Replacement Facility: The proposed FRAM will modify and add equipment to better suit the WHECs to their present employment in law enforcement and military preparedness. It will modernize and standardize engineering plant and equipment already onboard. It will provide a greatly enhanced capability in communications, point defense data acquisition, underseas detection, and electronic support measures, all of which have peacetime and wartime applications. FRAM will be accomplished in commercial shipyard facilities. The funding request of this program is based on a 2 ship-yard program, 1 on the East Coast/Gulf Coast and 1 on the West Coast.

Benefits: The result of the renovation will be a cutter that is much more reliable and mission capable for the remainder of its service life. Standardization of the class will simplify logistics, maintenance and training. Improved reliability will result in an expected 10% increase in operational days away from homeport.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	11	4	143	0	158*
PLANNED	12	4	151	0	167**

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
378-foot WHEC FRAM #1 (Partial)	1982	15,000
378-foot WHEC FRAM #1 and 2	1984	67,138
378-foot WHEC FRAM # 3 and 4 (Partial)	1985	73,350
378-foot WHEC FRAM # 4 (Partial) and 5 (Partial)	1986	58,300

SUMMARY ($000)

AMOUNT OF THIS REQUEST	123,100***
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	217,800
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:
- * Personnel allowance for the 378-foot WHEC.
- ** Subject under review.
- *** Does not include Navy furnished equipment installation at $3,000,000 per cutter.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Complete FRAM on cutter #5 and do FRAMs on Cutter #s 6-8 Economic Price Adjustments, and related costs	LS	—	123,100
		TOTAL		173,100

DEPT. OF TRANSP., USCG, COMDT 4255 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IB3	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
SEAGOING BUOY TENDER (WLB) SERVICE LIFE EXTENSION PROJECT (SLEP)	VARIOUS	$14,100,000

Reason for Request: The Coast Guard operates a fleet of 180-foot aids to navigation servicing vessels. All of these were built during World War II for the purpose of servicing aids to navigation in a hostile environment. The WLBs are still seaworthy and are capable of continued mission performance, but because of age, require renovation. During the renovations, obsolete equipment (electrical, heating, piping, etc.) is replaced or overhauled, new equipment is added and habitability improved. 14 of these WLBs are scheduled for such renovations. This request initiates funding for long lead-time materials the last 5 WLBs.

Description of Existing Facility: The last 5 WLBs (hulls 10-14) scheduled for Service Life Extension Project (SLEP) were built between 1942-44. They received austere renovations in the early to mid 1970s to extend their service lives an initial 7 to 10 years. While these WLB hulls are sound, major machinery systems are in poor condition and are difficult to support. Berthing and dining areas are well below current standards. There are presently 30 WLB hulls; 28 are operational and 2 are undergoing SLEP renovation. 3 have completed renovation. When the program is complete, 14 hulls will have completed SLEP.

Description of Replacement Facility: SLEP extends WLB service life by 15 to 20 years and at approximately 1/3 the cost of a new vessel. This $14,100 thousand request is for Long Lead Time Material (LLTM) for vessels 10-14.

Benefits: Operating expenses will be reduced by $17 thousand per ship. The greatest savings comes from the fact that the present hull will be utilized and its replacement will be delayed by 15 to 20 years. SLEP will provide increased maneuverability, safety, and habitability. The block obsolescence of WLBs will be avoided in the future. Commonality of main engines bow thrusters, and hydraulic lifting equipment will ensure the availability of supply support, reduce maintenance and training costs, and increase the dependability of these cutters.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Service Life Extension Project LLTM	1980	1,405
Service Life Extension Project Ships 1 and 2	1981	13,916
Service Life Extension Project Ship #3, LLTM	1982	11,500
Service Life Extension Project Ships #4and 5, LLTM	1983	19,000
Service Life Extension Project Ships #6 and 7, LLTM	1984	19,285
Service Life Extension Project Ship Sets #8 and 9	1985	18,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	14,100
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	61,600
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Long Lead Time Material (LLTM), SLEP hulls 10-14	LS	—	14,100
		TOTAL		14,100

DEPT. OF TRANSP., USCG, CGHQ-4283 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986
BUDGET ITEM NO 184

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
POLAR CLASS REPLACEMENT MAIN PROPULSION MONITORING AND CONTROL SYSTEM	SEATTLE, WA - 7TH	$2,200,000

Reason for Request: To replace the main propulsion monitoring and control system on the Polar Class icebreaker POLAR SEA.

Description of Existing Facility: The Polar Class icebreaker is a 399 foot icebreaker that can develop 18,000 Shaft Horse Power (SHP) in the diesel-electric mode and 60,000 SHP in the gas turbine mode. It is capable of breaking 6 feet of ice continually and can break 21 feet of new hard ice by backing and ramming. In addition to its crew and aviation detachment, accommodations for 20 scientists are available. The 2 Polar Class icebreakers POLAR STAR and POLAR SEA are homeported in Seattle, Washington, and deploy to both the Arctic and Antarctic. Major flaws exist in the monitoring portions of the main propulsion consoles of these cutters requiring frequent trouble shooting and maintenance. Monitoring-system failures can disable a ship since no way exists to bypass the system. Necessary manufacturer support of the existing system is no longer available.

Description of Replacement Facility: This multi-year project involves designing, building, and installing a replacement main propulsion monitoring and control system for each of the Polar Class icebreakers. The system will be self-diagnostic and readily supportable. Initial fiscal year 1984 funding was provided for engineering development of the system and its installation on only 1 icebreaker, CGC POLAR STAR. Original program estimates ($2.8 million) were preliminary in that they were made prior to the development of detailed specifications. Recent design and specifications development by an outside contractor indicate a total project cost of $5.0 million to equip both polar class icebreakers with the system.

Benefits: Replacement of the monitoring and control system will provide commercial supportability and maintainability. Improved performance and a reduction control systems failures will reduce cutter lost time, improve safety in operations, and will allow the icebreaker to accomplish significantly more scientific work on any given deployment.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	10	4	125	0	139*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Polar Class Replacement Console (POLAR STAR)	1984	2,800

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,200
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

* Personnel allowance for the Polar Class Icebreaker.

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Production and installation costs for second ship (POLAR SEA) (complete)	LS	—	2,200
		TOTAL		2,200

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 5-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IIA1	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
PROCURE MEDIUM RANGE RECOVERY (MRR) HELICOPTER REPLACEMENT	VARIOUS	$41,000,000

Reason for Request: To procure three MRR aircraft as the initial phase of a multi-phase replacement program.

Description of Existing Facility: The current Medium Range Recovery (MRR) fleet is comprised of 37 HH-3F helicopters that were procured between 1969 and 1973. All HH-3F aircraft are approaching the end of their economic service life, as the existing MRR fleet begins to face dramatic increases in required depot and field level maintenance beyond FY88. Corrosion (sponson attachment fitting, tail rotor pylon forging, etc.) and major component failures/replacements (engine accessory drives, main gear box, etc.) are on the rise, while the logistic support system for this out-of-production aircraft continues to diminish. The negative impact that increasing maintenance and decreasing logistic support has on aircraft availability is significant. The Not Mission Capable (NMC) rate for the HH-3F increased 59% between FY1977 and FY1985.

Description of Replacement Facility: The replacement MRR aircraft will be a twin engine, medium range, heavy lift helicopter capable of flying in heavy weather. The funds requested will pay for the development, test and evaluation of a new MRR helicopter, and the purchase of 3 aircraft, spares and associated Coast Guard peculiars. A competitive procurement strategy is under development that will ensure DOD operational and support compatibility.

Benefits: Availability will increase as the synergistic combining of new aircraft and DOD logistic support dramatically decreases the NMC rate. An MRR replacement aircraft will enhance Search and Rescue effectiveness. The MRR replacement fleet is expected to annually save 680 lives, assist 2,200 persons, and prevent the loss of $60 million in property. The heavy lift capability of a replacement MRR aircraft would annually generate $2.7 million in benefits for the Aids to Navigation Program (ATON) and Marine Environmental Response (MER) Program. Other mission/programs will most certainly continue to realize additional unquantified benefits. Finally, an MRR replacement aircraft provides a flexible platform for use in the developing military defense mission.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	41,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	442,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Purchase aircraft and related costs	LS	3	41,000
		TOTAL		41,000

DEPT. OF TRANSP., USCG, CGHQ-4205 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IIA2	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
SHORT RANGE RECOVERY (SRR) HELICOPTER (HH-65A) SUPPORT	VARIOUS	$5,600,000

Reason for Request: This request is to fund spares provisioning and support equipment for the new Short Range Recovery (SRR) helicopter.

Description of Existing Facility: The HH-52A helicopter is the Coast Guard's current SRR resource. It is a single engine aircraft with minimal instrumentation and a top speed of 109 knots. These helicopters entered service between 1963 and 1968 and are reaching the end of their service lives.

Description of Replacement Facility: The HH-65A is a twin engine, fully instrumented aircraft with a top speed of 150 knots. This helicopter will be the new SRR resource and will be operated primarily in support of the Search and Rescue and Law Enforcement missions. The funds requested will purchase spares for the six additional HH-65A helicopters and support equipment for the Aircraft Repair and Support Center (AR&SC), Elizabeth City, NC.

Benefits: HH-65As will greatly enhance Search and Rescue effectiveness. The HH-65A is expected to perform 9,500 Search and Rescue flight hours per year and save 1,100 lives, assist 3,000 persons and prevent the loss of $50 million in property. ELT surveillance flight hours will increase significantly as new 270 foot cutters are brought on the line.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Procure SRR Helicopters	1979	9,733
Procure SRR Helicopters	1980	37,300
Procure SRR Helicopters	1981	62,700
Procure SRR Helicopters	1982	107,120
Procure SRR Helicopters	1983	137,855
Procure SRR Helicopters	1984	41,390
Procure SRR Helicopters	1986	24,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	5,600
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	12,000*
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

*Tentative estimate of potential additional provisioning requirements.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Spares provisioning (six additional HH-65A helicopters)	LS	—	2,500
2.	HH-65A repair jigs/fixtures	LS	—	1,500
3.	HH-65A MGB Run-in stand	LS	—	1,600
		TOTAL		5,600

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IIA3	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**		
PROJECT TITLE HU-25A SENSOR SPARES - PHASE I		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $2,900,000

Reason for Request: Funding is requested to purchase parts, test equipment, and support equipment for Active Gated Television (AGTV).

Description of Existing Facility: The AGTV is a low light level television camera with a infrared laser illuminator which will give the AIREYE equipped HU-25A a vessel identification capability during day and night. The six production AGTVs being procured will be an integral part of the six AIREYE sensor suites already ordered for the HU-25A aircraft. The AIREYE/AGTV sensor suite provides the HU-25A with mapping search radar, an Infrared/Ultra-violet (IR/UV) line scanner, a reconnaissance camera, and a low light level television camera with infrared laser illuminator, all controlled by the sensor suite operator and computer. Air Stations Cape Cod, Miami, and Sacramento will have two operational AIREYE/AGTVS; however, the entire sensor system can be transferred from one aircraft to another to increase availability. Previously provided AGTV funds were for purchase of six systems only, and did not address funding for support requirements. Less than adequate sparing levels will result in failure to achieve programmed operating hours because parts will not be available when the systems require. Long turnaround times for depot repairs will become the norm with insufficient spares.

Description of Replacement Facility: Parts and equipment to support 6 operational AGTVs, will be provided. Necessary test and ground support equipment will be available at the 3 sites. Depot level test equipment will be procured.

Benefits: AIREYE/AGTV will provide a significant increase in daytime area surveillance capability. Target identification will be more accurate, and consume less time and fuel. Full night surveillance and identification capability will be given to the HU-25A; a capability that does not currently exist. Law Enforcement, Marine Environmental Protection, and Search and Rescue are mission areas that will benefit from AIREYE/AGTV.

OPERATIONAL STAFFING (NON-AC&I FUNDED)	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	0	0	2	0	2
PLANNED	0	0	--	0	--*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
HU-25A (MRS) Sensors - Phase I	1979	3,711
AIREYE Data Systems Center	1981	500*
HU-25A Sensors - AIREYE Integration	1984	18,981
Active Gated Television Production	1984	7,200

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,900
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	20,000
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:
* Under review.
**FY 1981 funds reprogrammed

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	AGTV spares	LS	—	2,200
2.	Test/Support equipment	LS	—	700
		TOTAL		2,900

DEPT. OF TRANSP., USCG, CGHQ-4205 (REV. 9-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IIA4	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
HC-130 FORWARD LOOKING AIRBORNE RADAR (FLAR) - PHASE IV	VARIOUS	$44,525,000

Reason for Request: To procure 24 surface search radars to be installed on HC-130 aircraft. The program calls for the acquisition of a total of 36 operational and support radar systems. The U.S. Navy will provide approximately 9 of the 36 systems. This request, along with prior year funds and U.S. Navy support, will fund procurement and installation of approximately 30 systems, dependent upon final unit costs and the timing of U.S. Navy funding.

Description of Existing Facility: The existing radars are an interim system, designed primarily for weather avoidance with little "lookdown" surface search capability.

Description of Replacement Facility: The candidate radar is planned for installation in U.S. Navy submarine surveillance aircraft and is a state of the art search radar. It has the capability to detect periscope size targets at distances of up to 28 nautical miles in moderate seas, track multiple targets, and classify targets at long range. Hence, it is not only an effective sensor for SAR and law enforcement operations, but has military applications as well. The U.S. Navy will provide logistic and maintenance support.

Benefits: The new surface search radar will permit effective all weather, day/night surface search up to a 150 mile radius from the aircraft. Mission response in SAR and law enforcement will be facilitated with increased detection capability. FLAR provides the potential to increase search and rescue efficiency by 28%.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	0	0	0	0	0
PLANNED	1	0	34	0	35*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
HC-130 FLAR (CG)	1982	13,100
HC-130 FLAR (CG)	1984	8,100

SUMMARY ($000)

AMOUNT OF THIS REQUEST	44,525
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	9,200
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES: *Under Review.

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Forward Looking Airborne Radars (24), installation kits and spare parts.	EA	24	44,525
		TOTAL		44,525

DEPT. OF TRANSP. USCG CGHQ-4263 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1986 BUDGET ITEM NO IIIA1	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
SECURE VOICE COMMUNICATIONS INSTALLATION - PH II	VARIOUS	$6,400,000

Reason for Request: To install previously acquired secure communication equipment. Secure voice cryptologic equipment is required to transmit national security information and conduct timely law enforcement and military operations. The vulnerability of law enforcement communications has been a particularly difficult operational problem.

Description of Existing Facility: Except for 378-Foot High Endurance Cutters (WHECs), the Coast Guard has no secure voice capability to communicate strategic National Defense or Law Enforcement information during operations.

Description of Replacement Facility: This multi-year initiative will continue installation of secure voice communications equipment on ships and boats, aircraft, and at selected shore locations. Equipment has been procured through the Department of Defense and the National Security Agency. Approximately 240 Parkhill secure high frequency voice communications systems will be installed on aircraft, vessels, and at shore facilities.

Benefits: This equipment will help protect voice law enforcement communications, and will enable the Coast Guard to effectively communicate throughout the service in support of law enforcement activities and with other military services in support of national defense activities. The new communications capability will provide essential military command and control and enhance the execution of the law enforcement mission by denying the opposition critical national security and tactical information passed between Coast Guard units in the operational environment. The project will bring the Coast Guard into compliance with established national standards regarding the handling of classified and sensitive material.

OPERATIONAL STAFFING
(NON-AC&I FUNDED)

	OFF.	WARRANT	ENL.	CIV.	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Secure Voice Communications Capability - Phase I	1984	3,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,400
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	—
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS FACILITY	—

NOTES:

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Secure voice communication installation	EA	206	6,400
		TOTAL		6,400

DEPT. OF TRANSP., USCG, CGHQ-4203 (REV. 5-84)
PREVIOUS EDITION IS OBSOLETE

DEPARTMENT OF TRANSPORTATION

COAST GUARD

[ALTERATION OF BRIDGES]

[For necessary expenses for alteration or removal of obstructive bridges, $5,200,000, to remain available until expended.] *(Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190.)*

AB1
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ALTERATION OF BRIDGES
Program and Financing (in thousands of dollars)

Identification code 69-0244-0-1-403	1985 Actual	1986 Estimate	1987 Estimate
Program by activities:			
10.00 Total obligations (object class 41.0)...............	...	18,200	2,000
Financing:			
17.00 Recovery of prior year obligations....................	-5	...	...
21.40 Unobligated balance available, start of year....................	-3,712	-17,317	4,317
24.40 Unobligated balance available, end of year.....................	17,317	4,317	2,317
40.00 Budget authority (appropriation).	13,600	5,200	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	...	18,200	2,000
72.40 Obligated balance, start of year.	13,930	9,682	11,882
74.40 Obligated balance, end of year...	-9,682	-11,882	11,882
78.00 Adjustments in unexpired accounts	-5	...	...
90.00 Outlays.........................	4,242	16,000	2,000

AB2

COAST GUARD -- Alteration of Bridges

PROGRAM AND PERFORMANCE

This appropriation provides the Government's share of the costs for altering or removing bridges determined to be obstructions to navigation. Generally, bridges to be altered were built with what are now insufficient vertical and/or horizontal clearances for free navigation on navigable waters of the United States. No funds are requested in 1987.

AB2
Standard Form 300

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
ALTERATION OF BRIDGES
Program and Financing (in thousands of dollars)

Identification code 69-0244-6-1-403	1985 Actual	1986 Estimate	1987 Estimate
Program by activities:			
10.00 Total obligations...............	...	-224	...
Financing:			
40.00 Budget authority (appropriation).	...	-224	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	...	-224	...
72.40 Obligated balance, start of year.	...	...	-177
74.40 Obligated balance, end of year...	...	177	...
90.00 Outlays.........................	...	-47	-177

COAST GUARD -- Alteration of Bridges

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Alteration of Bridges: 69-0244-6-1-403
(Dollars in thousands)

	FY 1986 ENACTED	FY 1986 AFTER SEQUESTRATION	FY 1987 ESTIMATE
Alteration of Bridges...............................	5,200	4,976	...

DEPARTMENT OF TRANSPORTATION

COAST GUARD

Retired Pay

For retired pay, including the payment of obligations therefor otherwise chargeable to lapsed appropriations for this purpose, and payments under the Retired Serviceman's Family Protection and Survivor Benefits Plans, and for payments for medical care of retired personnel and their dependents under the Dependents Medical Care Act (10 U.S.C., ch. 55), [$351,800,000] *$364,000,000. (Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190.)*

RP1
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY
Program and Financing (in thousands of dollars)

Identification code 69-0241-0-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
1. Regular military personnel........................	285,695	308,000	322,700
2. Former Lighthouse Service personnel......................	1,608	1,300	1,100
3. Reserve personnel................	11,556	12,300	13,600
4. Survivor benefit programs........	2,129	3,200	3,110
5. Medical care.....................	25,800	27,000	33,000
10.00 Total obligations...............	326,788	351,800	373,510
Financing:			
25.00 Unobligated balance lapsing......	4,012	...	...
40.00 Budget Authority (Appropriation).	330,800	351,800	373,510
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	326,788	351,800	373,510
72.40 Obligated balance, start of year.	11,629	36,092	37,092
74.40 Obligated balance, end of year...	-36,092	-37,092	-38,180
77.00 Adjustments in expired accounts..	-3,544	...	...
90.00 Outlays.........................	298,781	350,800	372,422

RP2

COAST GUARD--Retired Pay

PROGRAM AND PERFORMANCE

This appropriation provides for retired pay of military personnel of the Coast Guard and Coast Guard Reserve, members of the former Lighthouse Service, and for annuities payable to beneficiaries of retired military personnel under the retired serviceman's family protection plan (10 U.S.C. 1431-46) and survivor benefits plans (10 U.S.C. 1447-55); and for payments for medical care of retired personnel and their dependents under the Dependents Medical Care Act (10 U.S.C., Ch. 55).

The following tabulation shows the average number of personnel on the rolls during 1985 compared with estimated numbers for 1986 and 1987:

Category	AVERAGE NUMBER 1985 actual	 1986 estimate	 1987 estimate
Commissioned officers......	3,920	4,077	4,129
Warrant officers...........	3,237	3,328	3,392
Enlisted personnel.........	14,663	14,900	15,079
Former Lighthouse Service personnel................	102	87	71
Reserve personnel..........	1,833	1,920	2,002
Total.................	23,755	24,312	24,673

RP4
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY
Object Classification (in thousands of dollars)

Identification code 69-0241-0-1-403	1985 actual	1986 estimate	1987 estimate
13.0 Benefits for former personnel......	300,988	324,800	340,510
25.0 Other services.....................	25,792	27,000	33,000
26.0 Supplies and materials.............	8	...	...
99.9 Total obligations.............	326,788	351,800	373,510

RP1
Standard Form 300

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY
Program and Financing (in thousands of dollars)

Identification code 69-0241-6-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations...............	...	-10,311	-9,510
Financing:			
40.00 Budget Authority (Appropriation).	...	-10,311	-9,510
	...		
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	...	-10,311	-9,510
72.40 Obligated balance, start of year.	...	...	-578
74.40 Obligated balance, end of year...	...	578	88
90.00 Outlays..........................	...	-9,733	-10,000

RP2

COAST GUARD -- Retired Pay

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION
U. S. Coast Guard
Digest of Budget Estimates By Activities for Fiscal Year 1997
(dollars in thousands)

Appropriation: Retired Pay

	1995 Actual		1996 After Sequestration		1997 1/ Estimate		Increase or decrease (-) for 1997	
	Average Number	Amount	Average Number	Amount	Average Number	Amount	Average Number	Amount
Program by activities:								
1. Regular military personnel............	21,820	$295,695	22,305	$299,237	22,600	$304,065	295	4,828
2. Former Lighthouse Service personnel..	102	1,608	87	1,263	71	1,009	-16	-254
3. Reserve personnel......................	1,833	11,556	1,920	11,950	2,002	12,816	82	866
4. Survivor benefit program..............	XXX	2,129	XXX	3,200	XXX	3,110	XXX	-90
5. Medical care, retirees and dependents	XXX	25,800	XXX	25,839	XXX	33,000	XXX	7,161
Total operating costs, funded.....	23,755	336,788	24,312	341,489	24,673	354,000	361	12,511
Unobligated balance lapsing...........	XXX	4,012	XXX	...	XXX	...	XXX	...
Total appropriation or estimate......	23,755	340,800	24,312	341,489	24,673	354,000	361	12,511

1/ Includes: (1) -$3,513,000 FY 1997 effect of foregoing FY 1996 COLA; (2) -$10,000,000 proposed legislation to forego FY 1997 COLA

Summary Explanation of Changes Requested for Fiscal Year 1997

	AMOUNT BY ACTIVITY					
	Total	No. 1	No. 2	No. 3	No. 4	No. 5
1. Adjustments to base and built-in changes:						
a. Annualization costs:						
(1) Retirement of members during 1996 ([illegible] average)	$ [illegible]	$ [illegible]	...	$ [illegible]	...	...
(2) Annualization of savings due to attritions from the rolls during 1996 ([illegible] average)	[illegible]	[illegible]	[illegible]	[illegible]	...	...
b. Cost-of-living increase effective January 1, 1996	...	...	...	...	...	...
c. Survivor benefit program	-90	...	...	...	-90	...
2. Program Changes:						
a. Retirement of members during 1997 ([illegible] average)	[illegible]	[illegible]	...	[illegible]	...	...
b. Savings due to attritions from the rolls during 1997 ([illegible] average)	[illegible]	[illegible]	[illegible]	[illegible]	...	...
c. Cost of living increase effective January 1, 1997	...	...	...	...	...	...
d. Medical care, retirees and dependents	7,161	...	...	...	...	7,161
TOTAL CHANGE FOR 1997 OVER 1996 APPROPRIATION OR ESTIMATE	12,511	4,828	-254	866	-90	7,161

DEPARTMENT OF TRANSPORTATION
U. S. Coast Guard
Retired Pay: 69-0241-6-1-403
Digest of Budget Estimates By Activities for Fiscal Year 1987
(dollars in thousands)

Appropriation: Retired Pay

	FY 1986 Enacted	FY 1986 After Sequestration	FY 1987 Estimate 1/
Program by activities:			
1. Regular military personnel...........	308,000	299,237	304,065
2. Former Lighthouse Service Personnel.	1,300	1,263	1,009
3. Reserve personnel.....................	12,300	11,950	12,916
4. Survivor benefit program.............	3,200	3,200	3,110
5. Medical care, retirees and dependents	27,000	25,839	33,000
Total operating costs, funded.......	351,800	341,489	354,000

1/ Includes: (1) -9,510,000 FY 1987 effect of foregoing FY 1986 COLA (2) -10,000,000 proposed legislation to forego FY 1987 COLA

RP5

U. S. COAST GUARD
Justification
Retired Pay: 69-0241-0-1-403

General Statement

This appropriation provides for retired pay of military personnel of the Coast Guard and Coast Guard Reserve, members of the former Lighthouse Service, and for payments to their survivors pursuant to the Retired Serviceman's Family Protection Plan (10 U.S.C. 1431-1446), and the Survivor Benefits Plans (10 U.S.C. 1447-1455). Since 1983, medical care of retirees and dependents, formerly financed by the Department of Health and Human Services under the Dependents Medical Care Act (10 U.S.C., Ch.55) has been funded under this account. In addition, these estimates provide for additional cost-of-living increases anticipated to be authorized during 1987 under 10 U.S.C. 1401a.

Members are added to the rolls each month as they are voluntarily or involuntarily retired. Members are also removed from the rolls during the year because of death or other causes. The normal pattern which results from these transactions is a gradual increase in the retired rolls from month to month throughout the year. "Voluntary" retirements for military personnel with over 30 years' service, with 20 to 30 years' service, and other optional retirements are authorized by law. "Involuntary" retirements are for age, physical disability, and forced attrition.

The average numbers on the retired rolls will increase by a net of 361 as a result of the part-year effect of 1987 retirements and attritions; and the annualization of 1986 retirements and attritions.

The comparison of changes in numbers on the retirement rolls at the end of the year follows:

Change in Numbers on the Retired Rolls

	1985 actual	1986 estimate	1987 estimate
On rolls, beginning of year.	23,540	23,953	24,454
Additions:			
Regular military personnel:			
Enlisted personnel........	421	407	392
Commissioned officers.....	168	164	156
Warrant officers..........	129	134	120
Reserve personnel..........	119	101	131
Subtotal...............	837	806	799
Less attritions.............	-424	-305	-411
On rolls, end of year.......	23,953	24,454	24,842

U. S. Coast Guard — Retired Pay

Explanation of Changes Requested for Fiscal Year 1987

The increases requested are based on the annualization of FY 1986 adjustments and anticipated changes in FY 1987.

FY 1986 Appropriation

	($000)	Average Personnel
Retired Pay	$315,650	24,312
Health Care	25,839	XXX
Total Appropriation	$341,489	24,312

1. The following are adjustments to the FY 1986 Appropriation Base:

a. Annualized costs:		
(1) Retirements...............	3,780	293
(2) Attritions................	-1,807	-151
(3) Cost of living increase, effective Jan. 1,1986,	XXX 1/	XXX
b. Survivor benefit program:		
(1) Survivor benefit payments. projected increase in payments	-90	XXX
Subtotal FY 1986 Adjustment	$1,883	142

2. The following are the adjustments to the FY 1987 Budget Request based on the new program adjustments that will begin in FY 1987:

	($000)	Average Personnel
a. Retirements....................	5,796	432
b. Attritions.....................	-2,329	-213
c. Cost of of living increase, effective Jan. 1, 1987	XXX 2/	XXX
d. Medical benefits..............	7,161	XXX
FY 1987 Adjustment...........	$10,628	219
FY 1987 Estimate.............	$354,000	24,673

1/ FY 1987 savings due to foregoing FY 1986 COLA are estimated to be $9,510.

2/ Savings due to foregoing FY 1987 COLA, for which legislation will be proposed, are estimated to be $17,000.

RP7
Standard Form 300

Proposed Legislation
DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY
Program and Financing (in thousands of dollars)

Identification code 69-0241-2-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
1. Regular military personnel........................	...	...	-9,540
2. Former Lighthouse Service personnel........................	...	...	-60
3. Reserve personnel................	...	...	-400
4. Survivor benefit program.........	...	...	...
5. Medical care.....................	...	...	...
10.00 Total Obligations (Object class 13.0)..............	...	...	-10,000
Financing:			
40.00 Budget Authority (appropriation)	...	...	-10,000
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	...	...	-10,000
74.40 Obligated balance, end of year...			100
90.00 Outlays..........................	...	...	-9,900

RP8

COAST GUARD -- Retired Pay

Proposed Legislation

Legislation will be proposed to forego cost-of-living adjustments for 1987.

DEPARTMENT OF TRANSPORTATION

COAST GUARD

Reserve Training

For all necessary expenses for the Coast Guard Reserve, as authorized by law; maintenance and operation of facilities; and supplies, equipment, and services, [$61,502,000] *$65,200,000*. *(Department of Transportation and Related Agencies Appropriations Act as included in Public Law 99-190; additional authorizing legislation to be proposed.)*

RT2
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Program and Financing (in thousands of dollars)

Identification code 69-0242-0-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
Direct program:			
1. Initial training..................	2,468	4,116	4,261
2. Continuing training...............	34,818	35,830	38,854
3. Operation and maintenance of training facilities..............	11,539	11,629	11,887
4. Administration....................	10,988	9,927	10,198
Total direct program costs, funded.....	59,813	61,502	65,200
Reimbursable program:			
5. Miscellaneous services for other accounts (cost-obligations)......	44	154	154
10.00 Total obligations...............	59,857	61,656	65,354
Financing:			
11.00 Offsetting collections from Federal funds..................	-44	-154	-154
22.40 Unobligated balance transferred, net...........................	-635	...	...
25.00 Unobligated balance lapsing.....	46	...	...
39.00 Budget Authority...........	59,223	61,502	65,200
Budget authority			
40.00 Appropriation...................	58,833	61,502	65,200
42.00 Transferred from other accounts.	390	...	...
43.00 Appropriation (adjusted)....	59,223	61,502	65,200

RT3
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Program and Financing (in thousands of dollars) p.2

Identification code 69-0242-0-1-403	1985 actual	1986 estimate	1987 estimate
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	59,813	61,502	65,200
72.40 Obligated balance, start of year...........................	6,335	7,918	7,918
74.40 Obligated balance, end of year..	-7,918	-7,918	-8,018
77.00 Adjustments in expired accounts.	-701	...	...
90.00 Outlays excluding pay raise supplemental..................	57,529	61,502	65,100

RT4

COAST GUARD--Reserve Training

PROGRAM AND PERFORMANCE

The Coast Guard Reserve Forces provide qualified individuals and trained units to active duty in event of war, national emergency or domestic disaster. These forces keeps ready through realistic, coordinated training in wartime skills, formal training in military skills, and performing peace time duties with the Regular Forces during normal and emergency operations. The 1987 program will be expanded to provide a Ready Reserve of 19,000 including a Selected Reserve of 13,000.

Direct program:

1. Initial training.-- Direct costs of initial training for non-prior service recruits are programmed under this activity.

2. Continuing training.-- Direct costs of officer and enlisted drills and annual active duty for training are programmed under this activity.

3. Operation and maintenance of training facilities.-- Reserve training facilities operation and maintenance costs are programmed under this activity.

4. Administration.-- All administrative costs for the Reserve Forces program are programmed under this category.

5. Miscellaneous services for other accounts.-- Coast Guard mobilization related activities for the Selected Service System is reimbursed under this activity.

DAYS OF TRAINING

	1985 actual	1986 estimate	1987 estimate
1. Initial training: Initial active duty for training.........	72,667	110,964	128,975
2. Continuing training:			
Selected Reserve (with pay):			
Active duty for training.......	115,839	135,972	139,620
Drills (12-48 per year)........	501,335	524,482	528,106
Other Ready Reserve (without pay):			
Active duty for training.......	800	800	800
Drill training.................	15,206	15,000	15,000

RT5

The table below shows the personnel strength in the various Reserve manpower categories at the end of 1985, 1986, and 1987.

PERSONNEL IN THE COAST GUARD RESERVE 1/

	1985 actual	1986 estimate	1987 estimate
1. **Ready Reserve**:			
a. Selected:			
(1) Initial training 2/..........	418	300	300
(program input) 3/...........	(705)	(1,070)	(1,070)
(2) Continuing training:			
Drill pay strength...........	12,172	12,300	12,800
Subtotal.......................	12,590	12,600	13,100
b. Individual Ready Reserve........	5,288	5,651	6,000
Subtotal, Ready Reserve.........	17,878	18,251	19,100
2. **Standby Reserve**:			
a. Active status...................	10	10	10
b. Inactive status.................	805	805	805
Subtotal, Standby Reserve.......	815	815	815
Total 1/..........................	18,693	19,066	19,915

1/ Excludes personnel on extended active duty.
2/ Includes personnel in the second period of the split initial training program.
3/ Net non-prior service recruit accessions.

RT6
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Object Classification (in thousands of dollars)

Identification code 69-0242-0-1-403		1985 actual	1986 estimate	1987 estimate
Direct obligations:				
	Personnel compensation:			
11.1	Full-time permanent.............	1,819	1,980	1,980
11.3	Other than full-time permanent..	17	8	8
11.5	Other personnel compensation....	115	120	120
11.7	Military personnel..............	45,587	47,975	49,410
	Total personnel compensation...	47,538	50,083	51,518
	Personnel benefits:			
12.1	Civilian...	260	312	312
12.2	Military personnel..............	1,360	1,457	3,280
21.0	Travel and transportation of persons........................	1,607	2,260	2,355
22.0	Transportation of things........	456	414	431
23.1	Standard level user charges.....	494	494	494
23.3	Communications, utilities, and other rent......................	531	533	559
24.0	Printing and reproduction.......	89	95	99
25.0	Other services..................	2,170	1,903	2,035
26.0	Supplies and materials..........	4,821	3,592	3,743
31.0	Equipment.......................	487	330	344
42.0	Insurance claims and indemnities	...	29	30
99.0	Subtotal, direct obligations	59,813	61,502	65,200

RT7
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Object Classification (in thousands of dollars) p. 2

Identification code 69-0242-0-1-403	1985 actual	1986 estimate	1987 estimate
Reimbursable obligations:			
11.7 Personnel compensation: Military personnel	41	139	139
12.2 Personnel benefits: Military personnel	2	9	9
21.0 Travel and transportation of persons	1	6	6
99.0 Subtotal, reimbursable obligations	44	154	154
99.9 Total obligations	59,857	61,656	65,354

RT8
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING
Personnel Summary

Identification code 69-0242-0-1-403	1985 actual	1986 estimate	1987 estimate
Military:			
Total number of full-time permanent positions..............	608	599	599
Total compensable workyears:			
Full-time equivalent employment.	606	599	599
Civilian:			
Total number of full-time permanent positions..............	123	123	123
Total compensable workyears:			
Full-time equivalent employment.	103	106	106
Full-time equivalent of overtime and holiday hours..............	6	6	6

RT
Standard Form 300

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Program and Financing (in thousands of dollars)

Identification code 69-0242-6-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations................	---	-2,845	---
Financing:			
40.00 Budget authority (Appropriation)	---	-2,845	---
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	---	-2,845	---
72.40 Obligated balance, start of year	---	---	-912
74.40 Obligated balance, end of year..	---	912	---
90.00 Outlays..........................	---	-1,933	-912

RT

COAST GUARD -- Reserve Training

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1987
(in thousands of dollars)

Appropriation: Reserve Training

	1986 Enacted		1986 After Sequestration		1987 Estimate		Increase or Decrease (-) for 1987	
	Full-Time Perm. Pos.	Amount	Full-Time Perm. Pos.	Amount	Full-Time Perm. Pos.	Amount	Full-Time Perm. Pos.	Amount
Program by Activities:								
1. Initial training	...	$ 4,116	...	$ 3,359	...	$ 4,261	...	$ 902
2. Continuing training	...	35,830	...	33,942	...	38,854	...	4,912
3. Operation and maintenance of training facilities	354	11,629	354	11,629	354	11,887	...	258
4. Administration	368	9,927	368	9,927	368	10,198	...	271
Total direct costs	...	61,502	...	58,857	...	65,200	...	6,343
Unobligated balance lapsing	...	...	...	...	...	...	...	...
Total appropriation or estimate	722	61,502	722	58,857	722	65,200	...	6,343
(Military)	(599)	...	(599)	...	(599)	...	(...)	...
(Civilian)	(123)	...	(123)	...	(123)	...	(...)	...

Summary Explanation of Changes Requested for Fiscal Year 1987

	Positions				Amount by Activity (000's)				
	QTR Code	Military	Classified	Total	Total	Initial Training	Continuing Training	Oper. & Maint. Training Facilities	Administration
1. **Annualization, price level, and program increases:**									
a. Cost of continuing FY 1986 programs in FY 1987		0	0	0	413	31	246	74	62
b. Selected Reserve education benefits		0	0	0	1,785	...	1,785	...	...
c. Annualization FY 1986 pay raise		0	0	0	1,500	114	993	184	209
d. Increase mobilization force		0	0	0	975	221	754	...	...
e. Increase recruiting and Reserve Training		0	0	0	1,670	536	1,134	...	...
Total Change for 1987 over 1986 Appropriation estimate		0	0	0	6,343	902	4,912	258	271

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1987
(in thousands of dollars)

Appropriation: Reserve Training

	1985 Actual		1986 After Sequestration		1987 Estimate		Increase or Decrease (-) for 1987	
	Full-Time Perm. Pos.	Amount	Full-Time Perm. Pos.	Amount	Full-Time Perm. Pos.	Amount	Full-Time Perm. Pos.	Amount
Program by Activities:								
1. Initial training	...	$ 2,468	...	$ 3,359	...	$ 4,261	...	$ 902
2. Continuing training	...	34,818	...	33,942	...	38,854	...	4,912
3. Operation and maintenance of training facilities	359	11,539	354	11,629	354	11,887	...	258
4. Administration	372	10,988	368	9,927	368	10,198	...	271
Total direct costs	...	59,813	...	58,857	...	65,200	...	6,343
Unobligated balance lapsing	...	44	...	...	...	...	...	...
Total appropriation or estimate	731	59,857	722	58,857	722	65,200	...	6,343
(Military)	(608)	...	(599)	...	(599)	...	(...)	...
(Civilian)	(123)	...	(123)	...	(123)	...	(...)	...

Summary Explanation of Changes Requested for Fiscal Year 1987

	Positions				Amount by Activity (5000's)				
	QTR Code	Mili-tary	Classi-fied	Total	Total	Initial Training	Continuing Training	Oper. & Maint. Training Facilities	Adminis-tration
1. **Annualization, price level, and program increases:**									
a. Cost of continuing FY 1986 programs in FY 1987		0	0	0	413	31	246	74	62
b. Selected Reserve education benefits		0	0	0	1,785	...	1,785	...	...
c. Annualization FY 1986 pay raise		0	0	0	1,500	114	993	184	209
d. Increase mobilization force		0	0	0	975	221	754	...	...
e. Increase recruiting and Reserve Training		0	0	0	1,670	536	1,134	...	...
Total Change for 1987 over 1986 Appropriation estimate		0	0	0	6,343	902	4,912	258	271

Detailed Explanation of Changes Requested for Fiscal Year 1987

1. Annualization, Price Level, and Program Increases....................................	$6,343,000

a. Cost of Continuing FY 1986 Programs in FY 1987..... $413,000

Escalation in the prices of goods and services during the previous fiscal year is a factor which must be accommodated by an operating agency to maintain the current level of services. A government-wide inflation rate of 4.2 percent has been applied to the non-personnel compensation portion of this appropriation to provide the funds needed to continue both training and support at FY 1986 program levels in FY 1987.

b. Selected Reserve Education Benefits................ $1,785,000

The FY 1985 DoD Authorization Act required the Coast Guard to fund the educational "Reserve GI Bill" benefits to which members who enlist, reenlist, or extend for 6 years in the Selected Reserve between 1 July 1985 and 1 July 1988 are entitled. The requested increases will fund projected requirements for that newly mandated entitlement in Fiscal Year 1987.

c. Annualization of FY 1986 Military Pay Raise........ $1,500,000

For FY 1987, $1,500,000 is required to annualize the pay raise effective for the full year in FY 1986. This amount includes increased pay costs associated with the 3% increase in pay for military personnel enacted in the Department of Defense Authorization Act. These costs became effective 1 October 1985.

d. Increase Mobilization Force........................ $975,000

The requested increase will permit the Coast Guard to reduce its shortfall in the military manpower resources needed upon mobilization to meet assigned wartime missions and military contingencies. Selected Reserve strength will be increased by 500 personnel. Full-time active duty personnel to provide for the recruiting, training, logistics support, and personnel management of the increased force are included in the Appropriation base.

e. Increase Recruiting and Reserve Training........... $1,670,000

Funding is requested to increase non-prior service recruiting and two-week annual training programs. These functions were reduced in FY 1986 due to budgetary restraints. These functions must be increased to adequately man the Reserve force and train Coast Guard reservists in their required mobilization duties.

DEPARTMENT OF TRANSPORTATION

COAST GUARD

RESEARCH, DEVELOPMENT, TEST, AND EVALUATION

For necessary expenses, not otherwise provided for, for basic and applied scientific research, development, test, and evaluation; maintenance, rehabilitation, lease, and operation of facilities and equipment, as authorized by law, [$21,000,000] *$20,500,000*, to remain available until expended: *Provided*, That there may be credited to this appropriation funds received from State and local governments, other public authorities, private sources and foreign countries, for expenses incurred for research, development, testing, and evaluation. *(Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190; additional authorizing legislation to be proposed.)*

RD1

STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION
Program and Financing (in thousands of dollars)

Identification code 69-0243-0-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
Direct program:			
1. Search and rescue	5,207	4,730	4,162
2. Aids to navigation	2,959	4,760	4,189
3. Marine safety	4,772	2,413	2,123
4. Marine environmental protection	3,022	2,538	2,233
5. Enforcement of laws and treaties	2,040	8,491	7,474
6. Ice operations	584	600	528
7. Defense readiness	374	1,468	1,291
Total direct program	18,958	25,000	22,000
Reimbursable program:	754	1,200	1,200
10.00 Total obligations	19,712	26,200	23,200
Financing:			
11.00 Offsetting collections from: Federal funds	-753	-1,200	-1,200
17.00 Recovery of prior year obligations	-450	...	...
21.40 Unobligated balance available, start of year	-4,389	-8,745	-4,745
22.40 Unobligated balance, net transfer	135	...	...
24.40 Unobligated balance available, end of year	8,745	4,745	3,245
40.00 Budget authority (appropriation)	23,000	21,000	20,500

RD2
STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION
Program and Financing (in thousands of dollars) p.2

Identification code 69-0243-0-1-403	1985 actual	1986 estimate	1987 estimate
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	18,958	25,000	22,000
72.40 Obligated balance, start of year.	8,681	8,820	9,820
74.40 Obligated balance, end of year...	-8,820	-9,820	-10,120
78.00 Adjustments in unexpired accounts	-450	...	...
90.00 Outlays.........................	18,369	24,000	21,700

COAST GUARD--Research, Development, Test, and Evaluation

PROGRAM AND PERFORMANCE

The Coast Guard's Research and Development program seeks to maintain the technological base in areas crucial to the successful execution of the Coast Guard's operational and regulatory missions. The R&D program includes the development of techniques, methods, hardware, and systems which directly contribute to increasing the productivity and effectiveness of operating forces. Tests and evaluations are carried out in conjunction with research and development. The FY1987 request will provide for: development of improved search and rescue capability; support for replacement of patrol boat (WPB) and buoy tender (WLB/WLM) capabilities; development of improved aids to navigation performance techniques; development of improved commercial vessel safety and recreational boating safety knowledge bases to support establishment, modification, or discontinuance of various regulations and standards; development of systems and procedures for control and cleanup of pollutant spills; development of techniques to support law enforcement efforts; and research, development test, and evaluation in multi-mission project areas.

D5
STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION
Object Classification (in thousands of dollars)

Identification code 69-0243-0-1-403		1985 actual	1986 estimate	1987 estimate
Direct obligations:				
	Personnel compensation:			
11.1	Full-time permanent............	3,287	3,295	3,295
11.3	Other than full-time permanent.	79	208	208
11.5	Other civilian personnel compensation..................	38	17	17
11.7	Military personnel............	3,255	3,266	3,266
11.9	Total personnel compensation...	6,659	6,786	6,786
	Personnel benefits:			
12.1	Civilian.......................	400	425	425
12.2	Military personnel............	111	126	126
21.0	Travel and transportation of persons.........................	435	550	550
22.0	Transportation of things.........	105	160	160
23.1	Standard level user charges......	235	212	208
23.3	Communications, utilities, and miscellaneous charges...........	534	1,200	1,200
24.0	Printing and reproduction........	12	16	16
25.0	Other services...................	7,790	13,495	10,449
26.0	Supplies and materials...........	1,129	1,150	1,200
31.0	Equipment.......................	1,548	880	880
99.0	Subtotal, direct obligations.	18,958	25,000	22,000

RD6
STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION
Object Classification (in thousands of dollars) p. 2

Identfication code 69-0243-0-1-403	1985 actual	1986 estimate	1987 estimate
Reimbursable obligations:			
21.0 Travel and transportation of persons........................	24	...	...
25.0 Other services..................	730	1,150	1,150
26.0 Supplies and materials..........	...	50	50
99.0 Subtotal, reimbursable obligations..................	754	1,200	1,200
99.9 Total obligations..............	19,712	26,200	23,200

RD7
STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION
Personnel Summary

69-0243-0-1-403	1985 actual	1986 estimate	1987 estimate
Military:			
Total number of full-time permanent positions..........................	85	79	79
Total compensable workyears:			
Full-time equivalent employment..	79	79	79
Civilian:			
Total number of full-time permanent positions..........................	104	104	104
Total compensable workyears:			
Full-time equivalent employment..	99	103	103

RD1

STANDARD FORM 300

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION
Program and Financing (in thousands of dollars)

Identification code 69-0243-6-1-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations................	...	- 903	...
Financing:			
40.00 Budget authority (appropriation).	...	- 903	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	...	- 903	...
72.40 Obligated balance, start of year.	...	...	- 513
74.40 Obligated balance, end of year...	...	513	...
90.00 Outlays.......................	...	- 390	- 513

RD3

COAST GUARD--Research, Development, Test, and Evaluation

Reduction Pursuant to Public Law 99-177.

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION
COAST GUARD
SUMMARY OF BUDGET ESTIMATES FOR FISCAL YEAR 1987
(Dollars in thousands)

Appropriation: Research, Development, Test, and Evaluation

Activity Title	FY 1985 Actual		FY 1986 After Sequestration		FY 1987 Estimate	
	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount
Program by activities:						
1. Search and Rescue	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
2. Aids to Navigation	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
3. Marine Safety	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
4. Marine Environmental Protection	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
5. Enforcement of Laws and Treaties	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
6. Ice Operations	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
7. Defense Readiness	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Total appropriation or estimate	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Civilians	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Military	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

[illegible]

DEPARTMENT OF TRANSPORTATION
COAST GUARD
DIGEST OF BUDGET ACTIVITIES FOR FISCAL YEAR 1987
(dollars in thousands)

Appropriation: Research, Development, Test, and Evaluation

Activity Title	FY1986 Enacted		FY1986 After Sequestration		FY1987 Estimate	
	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount	Full-time perm. pos.	Amount
Program by activities:						
1. Search and Rescue	35	$ 650	35	$ 622	36	$ 600
2. Aids to Navigation	35	1,700	35	1,627	35	1,700
3. Marine Safety	18	1,400	18	1,340	19	1,200
4. Marine Environmental Protection	19	1,250	19	1,196	15	600
5. Enforcement of Laws and Treaties	61	1,100	61	1,053	57	1,200
6. Lighter-Than-Air-Research	-	-0-	-	-0-	-	-0-
7. WLB/WLM capability replacement acquisition	-	-0-	-	-0-	1	500
8. WPB capability, Patrol Boat Replacement	2	2,600	2	2,488	1	500
9. Advanced Marine Vehicles	2	1,300	2	1,244	2	1,000
10. Other Multi-Mission	2	2,000	2	1,914	5	2,800
11. RDT&E Support & Operations	-	-0-	-	-	-	2,500
12. Administration	9	9,000	9	8,613	9	7,900
Total appropriation or estimate	(183)	21,000	(183)	20,097	(183)	20,500
(Military)	(79)	XXX	(79)	XXX	(79)	XXX
(Civilian)	(104)	XXX	(104)	XXX	(104)	XXX

rrd>just RDJUST1

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1987	PROGRAM AREA SEARCH AND RESCUE	AMOUNT REQUESTED $300,000

PROGRAM

SEARCH AND RESCUE - IMPROVED PERFORMANCE

PROBLEM:
The SAR system of boats, ships, and aircraft must continually be upgraded through improved operation of existing resources, improved efficiency of replacement resources, and improved capability and productivity of the entire system, to keep pace with growing SAR workload. Electronic sensors are replacing the human eye as the primary "search sensor", requiring adaptation of operations to improve probability of detection.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: To minimize loss of life, personal injury and property damage through the use of advanced technology. To reduce time and costs involved in locating and alleviating distress.

APPROACH: Demonstrate the coverage of electronic sensors and signaling devices to provide a basis for future search planning, compile comprehensive and reliable data to improve probability of detection measurement and update SAR manual.

BENEFITS:
Project a 1% increase in effectiveness of SAR operations, resulting annually in an increase of 57 lives saved, an additional $5.2 million in property loss prevented, and over 2,000 flight hours avoided.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Continued evaluation of airborne electronic sensors (Forward Looking InfraRed, C-130 Side Looking Airborne Radar, HH-65A radar). Evaluated visual and radar capability of HU-25A. Developed and deployed emergency flotation bags as a rescue aid. Successfully demonstrated RRS system on WHEC-378' cutters. Continued study of human factors of SAR boat crews. Field tested visual distress signaling devices. Improved target drift prediction through R&D Center/Florida Atlantic University testing.

PLANNED FY 1986:
Test electronic detection performance of the airborne sensor (AIREYE) system. Continue validation of contractor- developed physical detection model for Computer Aided Search Planning System (CASP). Incorporate target drift prediction results into CASP and SAR Manual. Complete evaluation of multi-sensor searches. Publish report on visual distress signaling devices.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
SAR - IMPROVED PERFORMANCE	1984	450
SAR - IMPROVED PERFORMANCE	1985	250
SAR - IMPROVED PERFORMANCE	1986	239

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Improved Probability of Detection Methodology. Publish report on evaluation of multi-sensor searches. Integrate AIREYE analysis into CASP and SAR Manual. Continue lateral drift determination for improved drift prediction	300
	Total	300

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST2

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1987	PROGRAM AREA SEARCH AND RESCUE	AMOUNT REQUESTED $300,000

PROGRAM

SEARCH AND RESCUE SATELLITE AIDED TRACKING SYSTEM (SARSAT)

PROBLEM:

Before development of the Search and Rescue Satellite Aided Tracking (SARSAT) system, detecting and locating search targets on the high seas could not be done continuously or consistently over U.S. maritime regions. The Emergency Position Indicating Radio Beacon (EPIRB) system lacks effective locating and identifying data. The SARSAT demonstration and evaluation, completed in FY 1985, has shown its feasibility. However, the system has shortcomings that make it unacceptable for operational use without further development.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: To correct several known problems with SARSAT to make it an operational system for search and rescue.

APPROACH: Develop techniques for reducing false alarms, increasing efficiency and reliability of Local User Terminal and Mission Control Center operations, and improving the quality of existing and future Emergency Locating Transmitters (ELTs) and EPIRBs. Integrate geostationary satellite data into existing polar orbiting system. Eliminate ambiguity caused by a false image generated with each true image.

BENEFITS:

Near continuous and more effective alerting and locating techniques in the open ocean have high potential for saving life and property plus cost avoidance in SAR operations. A moderately effective system could result in preventing approximately 80 deaths and $9 million in property loss annually. Reduced search time could result in $1.5 million savings in search cost avoidance.

ACCOMPLISHMENTS

FY 1985 & PRIOR:

Revised Memorandum of Understanding (MOU) signed by DOT with DOD/NASA/NOAA. Three ground stations (local user terminals), and one Mission Control Center operating in U.S. Completed basic demonstration and evaluation and prepared comprehensive report. Finalized 406 MHz EPIRB specifications/coding, began using beacon operationally. Three Soviet satellites and one U.S. satellite in orbit. Saved or assisted in saving over 320 lives worldwide; over 100 through Coast Guard.

PLANNED FY 1986:

Continue ground system upgrade, follow-on studies, and false alarm studies. Continue 406 MHz beacon geostationary experiment. Begin using 406 MH2 beacon operationally in U.S.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
SARSAT	1984	1,300
SARSAT	1985	1,400
SARSAT	1986	383

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Continue to develop system improvements to increase probability of detecting alerts	300
	Total	300

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST4

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	AIDS TO NAVIGATION	$1,000,000

PROGRAM

SHORT RANGE AIDS (SRA) TO NAVIGATION

PROBLEM:
The lack of a quantitative method to measure the performance of an SRA system hinders optimum design. Aids are designed by combining past experience, public desire, and user inputs. Lack of research into effectiveness of SRA lights has not allowed state-of-the-art applications to reduce accidents attributable to ineffective SRA lighting. The Coast Guard needs to address the relationship between program decisions and benefits to the user.

OBJECTIVES AND GENERAL APPROACH:
OBJECTIVES: Develop analytical techniques that show the relationship between aids to navigation program decisions (such as arrangement of aids, characteristics of individual aids) and the performance and benefits they produce. Investigate possibilities for improving SRA lights.

APPROACH: Develop quantitative SRA systems design manual. Evaluate alternate SRA lighting characteristics to improve conspicuity. Develop SRA system management tool to support decision makers in area of resource allocation.

BENEFITS:
Based on 1972-80 marine casualty statistics, successful implementation should save an estimated $1.6 million and 2 lives per year. Other potential savings from avoidance of port closings and marine pollution are estimated at $10-100 million annually.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Completed piloting experiments using radiobeacons and radar to further develop system design standards, and visual experiments to complete all data for SRA/RA (Radio-Aids-to-Navigation) Systems Design Manual. Completed tests of Automated Aids Positioning System (AAPS) by operational units. Began visual signal requirements study.

PLANNED FY 1986:
Update and publish SRA/RA Design Manual. Expand design manual data base, and support field implementation of manual. Continue visual signal performance requirements study and apply results to hardware development. Complete development of augmented AAPS, capable of using a variety of sensor inputs such as Loran-C, GPS, depth finder, radar and magnetic compass. Complete SRA measures of effectiveness and begin routine service demands study.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
Short Range Aids to Navigation	1984	700
Short Range Aids to Navigation	1985	1,000
Short Range Aids to Navigation	1986	766

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	SRA Systems Performance - Continue data base expansion of Design Manual, update manual, continue simulator support	300
2.	SRA Signal Effectiveness - Continue visual signal performance studies, prototype acquisition of advanced signal equipment	300
3.	SRA Resource Management - Continue SRA routine service demands and platform capabilities studies	400
	Total	1,000

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST5	**RESEARCH, DEVELOPMENT, TEST AND EVALUATION**	
FISCAL YEAR (FY) 1987	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $700,000
PROGRAM RADIONAVIGATION AIDS		

PROBLEM:
Approximately 1,000 collisions, rammings, and groundings (CRG) of commercial vessels occur each year, resulting in loss of life and billions of dollars in property losses. Congestion of waterways and risk of CRGs by larger and more costly vessels require better navigation information and less dependence on human judgment. The impact of Global Positioning System (GPS) on civil marine navigation is undetermined, thereby limiting planning for future civil marine navigation systems. Loran-C signal enhancement could be an alternative.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Improve the safety and efficiency of marine navigation under conditions of normal and reduced visibility using GPS and LORAN-C.

APPROACH: Utilize applied research to investigate levels of effectiveness, operating problems, and procedures to improve radionavigation systems for marine navigation at the lowest cost to both the Government and the user.

BENEFITS:
Supports decisions regarding future radionavigation mix through demonstration and documentation of GPS and Loran-C accuracies and cost-effectiveness.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Investigated capability of Loran-C to provide accuracy necessary for precision navigation. Concluded analysis of Loran-C propagation and stability. Deployed real-time differential Loran-C, systems in several harbors to collect data for a cost/benefit analysis. Continued research to analyze signal stability and investigated signal augmentation techniques for applications requiring very high accuracy. Developed various methods for surveying harbors. Began investigations to determine the capability and potential for GPS application to civil marine use. Compared GPS precision and non-precision codes. Developed differential GPS data standards and monitor station algorithms. Completed GPS monitor program.

PLANNED FY 1986:
Develop and test GPS system for polar icebreakers. Perform full-scale differential GPS demonstration. Quantify Radionavigational Aids signal effectiveness in the Harbor/Harbor Entrance environment, and apply to simulator efforts for GPS, and Loran-C.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
Radio Aids to Navigation..	1984	500
Radio Aids to Navigation..	1985	500
Radio Aids to Navigation..	1986	861

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Global Positioning Navigational System - Field test prototype monitor system using low-cost GPS receivers; procure/deploy on Coast Guard units for evaluation. Develop specifications for operational system. Complete final GPS technology study......................................	600
2.	Loran-C Signal Analysis - Complete Loran-C stability study..............	100
	Total..	700

DEPT. OF TRANSP., USCG, CGHQ-4830 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST6	RESEARCH, DEVELOPMENT, TEST AND EVALUATION	
FISCAL YEAR (FY) 1987	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $200,000
PROGRAM COMMERCIAL VESSEL SAFETY (CVS) - STRUCTURAL FAILURE PREVENTION		

PROBLEM:
The Coast Guard lacks up-to-date knowledge of advanced construction materials used in non-conventional off-shore structure and vessel designs, and thus cannot effectively carry out responsibilities in design review and promotion of commercial vessels safety as federally mandated. Industry (e.g., American Bureau of Shipping) is studying this new technology for improving safety and reducing cost, but not from a regulatory standpoint.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Ensure vessels and offshore structures are structurally sound for intended use and meet safety standards through a design review and inspection program based on a thorough understanding of materials and techniques in use for non-conventional designs.

APPROACH: Investigate new methods and materials of non-conventional vessel/structure designs. Special emphasis will be on Tension Leg Platforms (TLP), which represent a major new direction in hardware for offshore oil and gas exploration and production. Obtain better understanding of causes of structural failure. Apply knowledge to detailed design review, approval process, and inspection program of existing vessels and structures.

BENEFITS:
Provides ability to competently review innovative design concepts proposed by the marine industry. Will allow non-conventional designs to enter service and reduce obstacles to industry implementation. Reduces risk of lost life and property. The value of a single tension leg platform is an estimated $20 million.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Designed and installed a wave stress and pressure measurement system aboard the M/V CORT for test and evaluation. Surveyed offshore oil firms for TLP inspection criteria and research. Completed agreement with American Bureau of Shipping for joint TLP research. Continued project to develop TLP inspection program. Began project to develop a reliability-based fatigue analysis of marine structures using fracture mechanics.

PLANNED FY 1986:
Complete program to develop TLP inspection procedures. Begin TLP model testing to determine important dynamic responses and environmental conditions. Begin study of TLP failure mechanisms.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
CVS - Structural Failure Prevention..................................	1984	100
CVS - Structural Failure Prevention..................................	1985	100
CVS - Structural Failure Prevention..................................	1986	192

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Develop tools for prediction of nonlinear loads and motions of mobile offshore drilling units (MODUs). Develop use of climatic wave spectral data for fatigue and flaw growth assessments. Continue study of TLP failure mechanisms..	200
	Total..	200

DEPT OF TRANSP, USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST7

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	MARINE SAFETY	$400,000

PROGRAM

COMMERCIAL VESSEL SAFETY - FIRE PROTECTION RESEARCH

PROBLEM:
Fire, explosion, smoke, and safety hazards pose a continuing threat to life and property at sea. The Coast Guard needs a better understanding of shipboard fires, firefighting equipment and techniques to properly fulfill its regulatory mission.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Using a unique shipboard laboratory environment, investigate causes of and responses to shipboard fires. Advance the state-of-the-art of marine firefighting and disseminate results to the maritime community.

APPROACH: Define and assess ways to reduce ignition and propagation of shipboard fires. Investigate requirements for toxic or flammable vapor detection systems. Investigate procedures to minimize ignition potential for hazardous vapor clouds. Define the risks of hazardous fumes in closed spaces, and establish risk amelioration procedures.

BENEFITS:
Improved safety equipment and practices resulting from this work could lead to a projected 7% reduction in losses of life and property attributable to fires aboard commercial vessels. For example, engine room fires caused by failure of high pressure fuel piping result in property losses greater than $10 million annually. The localized extinguishment program could result in $500,000 in costs avoided.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
HALON extinguishment system tests provided information and criteria to assess shipboard installations. Fire endurance tests of aluminum and steel hatchcovers supported a rulemaking in 1982. Fire tests of intermodal containers showed additional regulation unnecessary. Studies such as fire tests on pressure tanks, explosion suppression systems, ship hull fire exposure and cargo hold fire extinguishment were bases for U. S. recommendation to 1981 SOLAS changes. Testing and reports completed on smoke/gas hazards of shipboard accommodation space furnishings and smoke control methods.

PLANNED FY 1986:
Complete fire resistance study on bulkhead penetrations, Roll-On/Roll-Off cargo space fire tests, and joint project work with MARAD on spontaneous combustion of coal aboard ships. Continue marine fire analysis methodology and sub-surface foam extinguishment projects. Begin study of fire resistance of vessel structured joints and chemical cargo fire tests.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
CVS - Fire and Explosion Prevention/Response........................	1984	350
CVS - Fire and Explosion Prevention/Response........................	1985	350
CVS - Fire and Explosion Prevention/Response........................	1986	383

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Fire and safety research projects (cargo hold extinguishment - Halon 1301 and sub-surface foam extinguishment, fire resistance of vessel structural joints, others)......	400
	Total..	400

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST8

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1987	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $300,000

PROGRAM

COMMERCIAL VESSEL SAFETY - CREW/PASSENGER SAFETY

PROBLEM:
The routine carriage of chemical commodities presents an exposure risk that may have acute and chronic health impacts on Coast Guard and maritime industry personnel. The magnitude and level of risk has not been documented by any Government agency or the maritime industry. The Coast Guard has broad statutory authority to protect the safety and health of the commercial sector which it regulates. Coast Guard and the Occupational Safety and Health Administration (OSHA) promulgated a Memorandum of Understanding establishing jurisdictional boundaries based on previous work in this project.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVE: Minimize or eliminate the risk of hazardous material exposure for Coast Guard and maritime industry personnel.

APPROACH: Follow the standard industrial hygiene evaluation procedures of: acquiring data bases on actual exposures, operations that may produce exposures, and work habits; evaluating the exposure for possible impacts and developing a control protocol with monitoring to minimize the risk of exposure. Approximately 300 chemicals are being considered. Priorities are assigned based on frequency and duration of exposure, and severity of health impact.

BENEFITS:
Approximately 40,000 maritime industry and Coast Guard workers may be exposed to hazardous substances during routine work each year. Nearly 6,600 workers per year require treatment for cancer or non-specific illnesses connected with job-related exposures. Based on current estimates of medical treatment costs for cancer and non-specific illnesses, implementation of control methodologies developed in this effort could save $10 million or more annually in treatments and labor hours saved.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Conducted studies on individual cold water survival which resulted in a rulemaking published in April, 1980. Computer model to predict vapor hazards in marine terminal operations was developed; now in use to evaluate regulatory actions. Completed trips to offshore platforms and chemical tankers to observe operations and collect data for chemical exposures and work practices, including vapor concentrations and offshore noise levels. Completed study of exposure hazards to crew members aboard vessels at sea.

PLANNED FY 1986:
Continue to develop environmental monitoring methodology for various marine hazardous chemical worker scenarios; begin trial implementation.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
CVS — Crew/Passenger Safety	1984	500
CVS — Crew/Passenger Safety	1985	400
CVS — Crew/Passenger Safety	1986	287

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Continue trial implementation of medical and environmental monitoring methods, techniques and evaluate results	300
	Total	300

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST9

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	MARINE SAFETY	$150,000

PROGRAM

COMMERCIAL VESSEL SAFETY - SHIP STRUCTURE COMMITTEE

PROBLEM:
In support of vessel and offshore structure design review, the Coast Guard requires research on design and fabrication of vessels and marine structures, and on material used in their construction.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVE: Gain knowledge of vessel and offshore structure design/construction through participation on the Ship Structure Committee (SSC).

APPROACH: Fund-contributing members of the SSC are the Naval Sea Systems Command, Maritime Administration, American Bureau of Shipping, Military Sealift Command, Minerals Management Service, and Coast Guard. The Coast Guard Office of Merchant Marine Safety chairs the SSC. The SSC conducts an R&D program geared to the needs of its member agencies. It also sponsors university grants to foster teaching and study of naval architecture. The SSC hosts a symposium every three years on marine structures, usually in association with a professional society.

BENEFITS:
The Coast Guard is better able to execute its role of design review and approval. Information from SSC activities is disseminated to approximately 1,100 other design firms, shipyards, researchers, universities and operators. Provides for Coast Guard leadership including visible oversight of classification societies through the SSC chairmanship.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Publication of over 30 SSC reports in the last five years. Recent projects include: Structural Behavior After Fatigue, Steels for Marine Structures in Arctic Environments, Development of an Onboard Strain Recorder, Corrosion Experience Data Requirements, Ice Loads and Ship Response to Ice, Analysis of Wave Characteristics in Extreme Seas, Ship Vibration Design Guide, Marine Structural Steel Toughness Data Bank.

PLANNED FY 1986:
Management and support of the SSC research and development program. Specific research projects are determined by the SSC, with USCG having an equal voice with the other co-sponsors.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
CVS - Ship Structure Research and Development........................	1984	200
CVS - Ship Structure Research and Development........................	1985	200
CVS - Ship Structure Research and Development........................	1986	239

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Support for the Ship Structure Committee - Initiate, arrange for financing and coordinate R&D pertaining to ship structure...........	150
	Total..	150

DEPT. OF TRANSP. USCG. CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST10 **RESEARCH, DEVELOPMENT, TEST AND EVALUATION**

FISCAL YEAR (FY) 1987	PROGRAM AREA RECREATIONAL BOATING SAFETY	AMOUNT REQUESTED $150,000

PROGRAM

RECREATIONAL BOATING SAFETY - IMPROVED PERFORMANCE

PROBLEM:
The Coast Guard's existing regulation governing allowable propulsion horsepower on recreational boats is not backed by sound analysis and it does not take into account current boat design. Further, boat impact accidents continue to be one of the major causes of personal injury in this country.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Revise the Coast Guard's current safe powering regulatory standards and minimize loss of life and injury attributable to boat impact accidents.

APPROACH: Through an analytical investigation, and taking into account current boat designs, develop a revised safe powering formula, and from it, initiate a new safe powering regulatory standard for boat manufacturers. Investigate methods, hardware, and procedures which will serve to ameliorate the seriousness of accidents where a boat hits a person.

BENEFITS:
Reduction of loss of life and property from boating accidents. There are 1200-1500 powering-related accidents per year. Reduce cost to society by preventing death, injury and property loss.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Developed level flotation and fuel/electrical system standards. Provided safety design concepts for johnboats, fire explosion relief vents and boat control stations. Basic research in problems related to safe loading, safe powering, hypothermia, canoe-related accidents, and solid state inflators for Personal Flotation Devices (PFDs). Developed lateral accelerometers for safe powering project. (Performed with Select Project funds).

PLANNED FY 1986:
Continue lateral acceleration testing. Continue validation of Safe Powering Standards.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
RBS - Improved Performance	1985	200
RBS - Improved Performance	1986	239

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Continue validation of Safe Powering Standard, ...	150
	Total...	150

RDJUST11

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	MARINE ENVIRONMENTAL PROTECTION	$600,000

PROGRAM

ENVIRONMENTAL RESPONSE SYSTEMS

PROBLEM: The Comprehensive Environmental Response Compensation and Liability Act (CERCLA) has extended Coast Guard responsibility to spills of all commercial hazardous chemicals. Sufficient information and equipment to ensure proper response and the safety of response personnel does not exist, and methods to identify, mitigate, and contain chemical spills need to be improved.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Improve methods to identify, mitigate and contain hazardous chemicals. Develop protective equipment to assure safety of personnel involved in responses to chemical emergencies. Seek to foster private industry countermeasures/cleanup R&D.

APPROACH: Field test laboratory-produced methodology and available equipment under spill response conditions. Develop protective ensembles, monitoring devices and cleanup equipment. Focus research on increasing overall understanding, response strategy, and techniques rather than developing isolated cleanup systems and prototype equipment.

BENEFITS: Personnel protective clothing will protect an average of 50 Coast Guard personnel annually from exposure that could result in death or serious injury during routine spill investigations. Hazardous chemical spill R&D will significantly improve Coast Guard response efficiency, and also fosters similar R&D efforts on the part of industry.

ACCOMPLISHMENTS

FY 1985 & PRIOR: Evaluated rigid storage container; developed foam plug/patching device. Developed remote air sampling device, towed fluorometer and mobile lab. Completed studies and tests on amelioration of effects of chemicals categorized as floaters, miscibles, vapors and sinkers. Completed design and testing of HAZCHEM protective ensembles (HCPE). 16 submodels provide for Hazard Assessment Modeling (HACS). Completed study of acoustic detection of oil under ice, Arctic Oil Spill Behavior Field Guide.

PLANNED FY 1986: Complete Arctic oil behavior and transport model, response planning guide, and offshore response feasibility study. Complete mobile laboratory. Complete 1st generation personal monitor, ensemble communications, and protection guide; continue intensified materials testing program and decontamination studies; continue development of 2nd generation personal monitor, and evaluate breathing systems.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Marine Environmental Protection - Hazardous Chemicals	1984	600
Marine Environmental Protection - Hazardous Chemicals	1985	1,080
Marine Environmental Protection - Hazardous Chemicals	1986	957

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Arctic oil pollution response. Continue development of environmental atlases for Alaska and methods of detecting oil in ice	100
2.	Discharge treatment and recovery. Begin in-house research on countermeasures and cleanup techniques for chemicals that mix in water	50
3.	Hazardous chemical pollutant analysis for response and law enforcement. Complete evaluation of analytical field instrumentation and field guide; complete shakedown tests on mobile lab	200
4.	Hazardous chemical personnel protection. Complete develoment and field evaluation of 2nd generation personal monitor; continue inhouse materials testing and decontamination studies	250
	Total	600

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

[illegible] RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	ENFORCEMENT OF LAWS AND TREATIES	$1,000,000

PROGRAM

SHIPBOARD SENSORS

PROBLEM:
Present Coast Guard shipboard sensors, primarily radar, cannot observe and identify radar targets at night or in reduced visibility and thus require a Coast Guard vessel to move within visual range in law enforcement/drug interdiction operations. This makes covert surveillance and evidence gathering difficult or impossible.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVE: Provide nighttime and reduced visibility classification and observation capability for Coast Guard vessels.

APPROACH: Develop prototype night vision system including Forward Looking Infrared (FLIR) sensor and possibly a Low Light Level Television (LLLTV) sensor. Install on Coast Guard medium and high endurance cutters, and operationally evaluate.

BENEFITS:
A high magnification night vision system will enable more efficient law enforcement operations. Suspicious vessels can be identified covertly and their onboard activity recorded. Will aid in determining which vessels should be boarded and aid in assessment of risk to boarding party. A 10% improvement in cutter effectiveness in SAR and law enforcement.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Evaluated low cost off-the-shelf FLIR/optical sensor. Results promising but shipboard environment poses special problems that seriously degrade system performance. Determined that prototype system needs to be stabilized, have high magnification, and include LLLTV as well as FLIR (performed with Select Project funds). Awarded contract to develop and install prototype system on a WMEC 210. Tested an aerostat tilted-mounted radar for drug interdiction (funded from Operating Expenses.)

PLANNED FY 1986:
Continue monitoring/administration of contract to develop prototype system for installation on a 210' WMEC.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
SHIPBOARD SENSORS	1985	300
SHIPBOARD SENSORS	1986	1,053

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Shipboard Sensor system development. Conduct operational tests to evaluate sensor system installed aboard a medium endurance cutter...	1,000
	Total..	1,000

DEPT OF TRANSP. USCG [illegible]
PREVIOUS EDITION IS OBSOLETE

[illegible]

[illegible]

PROBLEM: [illegible]

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: [illegible]

APPROACH: [illegible]

BENEFITS: [illegible]

[illegible]

[illegible]

[illegible]

APPROPRIATION LISTING

[illegible]

PACKAGE SUMMARY

[illegible]

[illegible]	RESEARCH, DEVELOPMENT, TEST AND EVALUATION	
FISCAL YEAR (FY) 1987	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $200,000

TITLE

RESEARCH SUPPORT FOR THE PERSONNEL SUPPORT PROGRAM

PROBLEM:
Coast Guard missions are by nature "people intensive." The Coast Guard needs a coordinated Research and Development program (like DOD's) in the areas of system effectiveness, personnel productivity and personnel cost efficiency.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Develop workforce productivity measures, analysis of personnel impacts in system acquisition, workforce planning models, efficient recruiting tools, and the ability to apply DOD personnel research results to the Coast Guard.

APPROACH: Develop management tools to: assess productivity and find correlations with personnel selection criteria, training scores, advancement criteria, and fitness reports; evaluate policy options for effect on productivity, cost, and quality of working life; include personnel impacts in system design. Adapt DOD research results to CG.

BENEFITS:
Ensures that selection, training, advancement, and evaluation policies enhance and reward productivity. Allows comprehensive evaluation of personnel policies before implementation. Improves systems effectiveness/productivity through better job planning. Increases valuable and otherwise unaffordable DOD research.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Examined issues related to minority recruitment, personnel policies and telecommuting issues, and effective communications. (Continued with Select Project funds.)

PLANNED FY 1986:
No funds appropriated.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
No funds have been appropriated for this program. New start.		

FY87 ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Adapt significant DOD personnel research in work force modeling to the Coast Guard	200
	Total	200

[illegible]

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	MULTI-MISSION	$2,000,000

PROJECT

COMMAND AND CONTROL SYSTEMS

PROBLEM:
Several Coast Guard missions have extensive requirements for complex surveillance, command and control systems. Increasing operations resulting from expanding and new missions have added and will continue to add significantly to complex command and control and surveillance requirements. Rapidly advancing technologies have outdistanced existing systems techniques; patchwork, duplicative, inadequate labor intensive systems have resulted.

OBJECTIVES AND GENERAL APPROACH:
OBJECTIVES: Provide an integrated approach to command and control, and examine and develop appropriate systems to reduce manual processing of information while increasing accuracy, availability and timeliness of information to decision makers.

APPROACH: Identify and define service-wide needs and multi-mission system performance requirements; develop basic systems structure and examine alternative systems; develop subsystems to implement overall plan. On a continuing basis, monitor and examine advancing command and control technologies for application to Coast Guard missions; and establish a knowledge base to anticipate future needs.

BENEFITS:
Increased mission capabilities with substantial savings in response time, cost and manning requirements. Potentially could reduce a large portion of the 40%-60% of operations center resources devoted to information handling. These personnel resources could be transferred to operational work. In FY 1986, cost-benefits will be analyzed for each mission, with priority ordering of recommended subsystems.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Identified and defined command and control (C²) information requirements for eleven operational Coast Guard missions. Completed test/evaluation of Operational C² Test Bed and Installed Shore Based Network at Group Hampton Roads. Began combining of Operational Logical Models into a composite Multi-Mission Logical Model. Surveyed user acceptance and utility of systems, equipment and software. Interest by field units is high. Completed feasibility study for a resource maintenance test bed. Completed performance specifications for Sub-District Operations System.

PLANNED FY 1986:
Continue combining operational logical models into a composite multi-mission logical model. Begin development of a resource maintenance test bed. Continue analysis of support programs for C² resource maintenance information requirements. Begin development of an operational C² prototype. Complete analysis of two remaining Operational Missions' C² information requirements.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Command and Control System Development..	1984	1,400
Command and Control System Development..	1985	1,300
Command and Control System Development..	1986	1,055

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Operational Information System - Complete operational logical model and rank order list of subsystems; procure overall operational model. Continue incremental development of multi-mission operational C² system..	2,000
	Total..	2,000

[illegible]
PREVIOUS EDITION IS OBSOLETE

RDJUST19 RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	MULTI-MISSION	$ 500,000

PROGRAM

WLB/WLM CAPABILITY REPLACEMENT ACQUISITION

PROBLEM:
The Coast Guard must replace the important mission capabilities of aging buoy tenders (WLB/WLM). 8 WLMs will reach the end of their service lives between 1988 and 1990, and the remaining 5 WLMs will reach that point between 1994 and 2001. The service lives of 14 WLBs will expire between 1989 and 1994. All of these vessels are experiencing excessive maintenance problems, and crew habitability is below Coast Guard standards. Alternative concepts must be evaluated to provide the most effective mix of replacement platforms in accordance with OMB Circular A-109 (Major Systems Acquisition).

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Support the WLB/WLM capability replacement acquisition effort.

APPROACH: Acquire multiple alternative system design concepts. Assess merits of these concepts. Demonstrate and validate each concept on a side-by-side basis by leasing and modifying existing high performance craft as "concept demonstrators." Assess results of demonstrations. After completion of design and construction, conduct technical and operational evaluations of the limited production vessels.

BENEFITS:
Provides a broad range of alternatives to meet the Coast Guard's needs for a WLB/WLM capability. Supports A-109 process to provide optimum mix of replacement vehicles.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
New start.

PLANNED FY 1986:
Prepare draft Statement of Work for competitive contract Request for Proposal to be issued in Fiscal Year 1987.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
New Start - no funds appropriated.		

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	WLB/WLM Capability Replacement - Award contract to conduct alternative systems feasibility studies and develop conceptual designs	500
	Total	500

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

REQUEST: RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1987	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $ 500,000

PROGRAM

WPB CAPABILITY REPLACEMENT ACQUISITION

PROBLEM:
The Coast Guard must replace the important mission capabilities of aging patrol boat classes (WPB) beginning no later than FY 1990. The 95' patrol boats were placed in service in the mid-1950s, the 82' boats in the mid-1960s. All of these will have reached the end of their useful economic lives in the 1990-2000 period and in fact some hulls are already failing. Alternative concepts must be evaluated to provide the most effective mix of replacement platforms in accordance with OMB Circular A-109 (Major Systems Acquisition).

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVE: Support the WPB capability replacement acquisition effort.

APPROACH: Perform all RDT&E activities associated with the WPB acquisition process. Conduct Candidate WPB Craft Study to determine effectiveness of various vessel concepts in meeting geographical and operational needs. Acquire advanced marine vehicle (SWATH, SES, hydrofoil, etc.) conceptual designs. Assess capability of designs to meet WPB Mission Needs Statement (MNS) cost-effectively. Evaluate most promising designs by leasing existing examples of such craft and validating their performance in side-by-side demonstrations. If prototype vessels are constructed, perform technical and operational evaluations to determine any modification required for production craft.

BENEFITS:
Provides a broad range of alternatives to meet the Coast Guard's needs for a WPB capability. Supports A-109 process to provide optimum mix of replacement vehicles. Provides data for Transportation Systems Acquisition Review Council decisions.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Mission Needs Statement (MNS) approved by Secretary of Transportation. Completed Candidate WPB Craft Study to determine the effectiveness of candidate craft in meeting the various elements of mission need in differing geographical areas. Developed measures of effectiveness required to evaluate performance of candidate WPB craft. Awarded contracts for economic analysis study and development of Test and Evaluation Master Plan.

PLANNED FY 1986:
Perform activities leading to Key Decision 2 (Select concepts for demonstration/ validation) of WPB acquisition process. Award contracts to develop and evaluate alternative advanced marine vehicle conceptual designs.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
WPB Capability Replacement Acquisition..............................	1984	1,250
WPB Capability Replacement Acquisition..............................	1985	3,000
WPB Capability Replacement Acquisition..............................	1986	2,488

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	WPB Capability Replacement: Acquire and evaluate alternative system design concepts and validate concept demonstrators.......................	500
	Total..	500

DEPT. OF TRANSP., USCG, CGHQ-4826 (REV. 5-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST15

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1987	MULTI-MISSION	$1,000,000

PROGRAM

ADVANCED MARINE VEHICLES

PROBLEM:

Advanced marine vehicles have potential application to all Coast Guard mission areas and represent an especially critical area in terms of investments of capital and personnel. During the 1980s/90s many of the Coast Guard's resources will require replacement or modernization. As mission needs are developed, alternative system concepts must be developed or assessed. Technological changes in marine vehicles are occurring rapidly. These must be monitored and alternative systems examined to prepare for replacement systems.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVE: Gain understanding of advanced marine vehicle (AMV) technologies to support vessel acquisition decisions.

APPROACH: Compare marine vehicle concepts such as Small Waterplane Area Twin Hull (SWATH) ships, Surface Effect Ships (SES), and hydrofoils; assess them relative to new needs and current Coast Guard vessels; acquire (temporarily) candidate vehicles for test and evaluation and develop system designs, vehicle configurations and concepts of operation and support. Assess energy and manpower trade-offs. Conduct cost effectiveness analysis. Make recommendations for fleet configurations.

BENEFITS:

Support future systems acquisitions. Improve mission performance and energy conservation when replacing/improving existing platforms is likely. Investigations thus far show AMVs offer the following benefits over conventional craft: transit speeds of 30% to 300% greater in missions where speed is a benefit; fuel savings of 25%; and sea-keeping abilities 10 times better.

ACCOMPLISHMENTS

FY 1985 & PRIOR:

Evaluated Air Cushion Vehicles for icy water SAR (little potential) and rigid hull inflatables for heavy weather SAR (definite application). Participated in multi-agency surface-piercing hydrofoil tests. Demonstrated how SWATH ship compared favorably to Coast Guard buoy tender in buoy tending operations. Developed ride control system for CG SES's. Technical Evaluation of CG 210' WMEC (Medium Endurance Cutter) as prelude to its capability replacement acquisition. Validated SAR and ELT Measures of Effectiveness to support operational analysis of cutter utilization. Conducted patrol boat effectiveness analysis. Initiated SWATH, Planing Hull, and SES technical evaluations. Operationally evaluated stretched version of SES's.

PLANNED FY 1986:

Perform historic utilization analysis. Initiate required performance study. Perform buoy tender effectiveness and lifecycle cost analysis. Continue technical evaluations of Coast Guard motor lifeboats and ride control system, deep vee planing hull, Island Class WPB and small SWATH. Test scale models of four cutters and one boat in Coast Guard inventory. Develop military readiness measures of effectiveness (MOE). Initiate low-speed planing hull study.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	 AMOUNT ($000)
Advanced Marine Vehicles	1984	1,700
Advanced Marine Vehicles	1985	1,500
Advanced Marine Vehicles	1986	1,244

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Support for cutter acquisitions: Complete required performance study. Develop mission scenario/MOE. Perform effectiveness, lifecycle cost analyses	300
2.	Test and Evaluation of advanced vehicles: motor life boat and buoy tenders	300
3.	Craft hydrodynamic characteristics data base: Continue SWATH speed/power prediction, low-speed planing hull studies. Study powering/speed loss for notional patrol boat design. (Model tests/simulations.)	400
	Total	1,000

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST16

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1987	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $ 600,000
PROGRAM SELECT PROJECT RESEARCH AND DEVELOPMENT		

PROBLEM:
The programming, planning, and budget cycle for R&D funding requires at least 19 months from recognizing a need to project start. This time is usually acceptable for long range, high cost developments. For certain problems, especially those related to changing missions, environment, or technology, the Coast Guard needs quick R&D response.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Respond to well-documented problems requiring short-term solutions. Investigate promising research opportunities that are only feasible if addressed immediately. Continuously assess impacts of emerging technology.

APPROACH: Provide a means to investigate research opportunities not specifically programmed or budgeted which would otherwise be missed due to normal funding lead times. Define relevant areas of technology. Assess impact on Coast Guard missions of environmental and technological changes both in the near and long term.

BENEFITS:
Efforts in this area will identify and address research opportunities in rapidly changing technologies and environments. Results will allow the Coast Guard to perform missions more efficiently or effectively, or in areas where performance was not realized before. Specific benefits will be examined on a project-by-project basis to ensure expected output is commensurate with cost.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Studied potential of spacecraft for aiding SAR and navigation. Investigated a shipboard infrared sensor which showed significant potential for Coast Guard use. Examined alternative navigation lights, emergency egress from vessels, and electrical hazards to tank vessels. Tested hypothermia preventing ability of anti-exposure suits for SAR teams. Studied low accession/retention of minorities, detection methods for concealed compartments, fuel tank permeability and flotation foam degradation.

PLANNED FY 1986:
Continue/complete efforts initiated in FY85. Continue to investigate time sensitive, short term, and high-payoff research opportunities. Proposed projects include Human Factors in Coast Guard Aircraft/Vessel Operations, "Voice Mail," and High Frequency Broadcast Capacity Evaluation.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
Select Project Research and Development............................	1984	400
Select Project Research and Development............................	1985	600
Select Project Research and Development............................	1986	761

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Pursue quick response research and development projects..............	$ 600
	Total..	600

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST17 **RESEARCH, DEVELOPMENT, TEST AND EVALUATION**

FISCAL YEAR (FY) 1987	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $7,900,000

PROGRAM

PERSONNEL AND RELATED COSTS

PROBLEM:
Adequate pay benefits and related costs are needed for authorized civilian and military staff.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVE: Provide necessary personnel resources for the execution of the Coast Guard RDT&E program.

APPROACH: Support total of 79 military personnel and 104 civilians personnel for RDT&E efforts. From these continue Headquarters program and contract administration (37 military and 36 civilian), Coast Guard R&D Center (36 military and 67 civilian), and Fire and Safety Test Detachment (6 military and 1 civilian). Provide in-house capability for projects requiring flexibility, quick response, "hands on" test and evaluation, continuity of technical expertise and coverage of areas with no contractual (e.g., industrial) base.

BENEFITS:
Provides an expert staff to conduct Research and Development supporting of Coast Guard missions. Provides capability to pursue areas of technology for the solution of present and future problems.

ACCOMPLISHMENTS

FY 1985 & PRIOR:
Managed and administered the RDT&E support program. Conducted in-house research at the Coast Guard Research Development Center. Served as Technical Representatives for R&D contracts.

PLANNED FY 1986:
Manage and administer the RDT&E Support Program . Conduct in-house research and serve as technical representatives for R&D contracts.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Personnel and Related Costs	1984	7,300
Personnel and Related Costs	1985	7,900
Personnel and Related Costs	1986	8,613

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Personnel compensation, benefits, and personnel related support	7,900
	Total	7,900

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RDJUST20

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1987	PROGRAM AREA MULTI-MISSION (ALL)	AMOUNT REQUESTED $2,500,000

PROGRAM

RDT&E SUPPORT AND OPERATIONS

PROBLEM:
The RDT&E Program incurs expenses for office and laboratory space, support services, equipment, and supplies that must be adequately funded.

OBJECTIVES AND GENERAL APPROACH:

OBJECTIVES: Provide necessary in-house facilities and resources for the execution of the Coast Guard RDT&E Program.

APPROACH: Provide funds to support RDT&E efforts. Continue Headquarters program and contract management operation of Coast Guard R&D Center, and operation of Fire and Safety Test Detachment.

BENEFITS:
Provides facilities for Research and Development in support of Coast Guard missions. Supports capability to pursue areas of technology for the solution of present and future problems.

ACCOMPLISHMENTS

FY 1984 & PRIOR:
Provided support for RDT&E Program.

PLANNED FY 1985:
Continue to provide support for RDT&E Program.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
RDT&E Administration and Operations	1984	1,300
RDT&E Administration and Operations	1985	900
RDT&E Administration and Operations	1986	1,500

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Provide necessary facilities and resources for support and operation of the RDT&E program (lease, utilities, maintenance contracts, computer support, training, supplies, etc.)	2,500
	Total	2,500

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 8-84)
PREVIOUS EDITION IS OBSOLETE

PF1
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
POLLUTION FUND
Program and Financing (in thousands of dollars)

Identification code 69-5168-0-2-304	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations	4,447	7,000	7,000
Financing:			
21.40 Unobligated balance available, start of year	-21,822	-24,765	-14,765
22.40 Unobligated balance transferred, net	...	10,000	...
24.40 Unobligated balance available, end of year	24,765	14,765	14,765
60.00 Budget authority (appropriation) (permanent, indefinite)	7,390	7,000	7,000
Relation of obligations to outlays:			
71.00 Obligations incurred, net	4,447	7,000	7,000
72.40 Obligated balance, start of year	4,719	5,282	5,282
74.40 Obligated balance, end of year	-5,282	-5,282	-5,282
90.00 Outlays	3,885	7,000	7,000

PF2

COAST GUARD--Pollution Fund

PROGRAM AND PERFORMANCE

This fund insures immediate cleanup of oil or other hazardous polluting substances spilled into the navigable waters of the United States, adjoining shorelines or waters of the contiguous zone. The fund is used when a spill occurs and the responsible owners or operators of a vessel, onshore facility, or offshore facility do not accomplish immediate cleanup with their own resources. Expenditures from the fund are later reimbursed by the responsible owners or operators.

PF3
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
POLLUTION FUND
Object Classification (in thousands of dollars)

Identification code 69-5168-0-2-304		1985 actual	1986 estimate	1987 estimate
21.0	Travel and transportation of persons........................	18	10	10
22.0	Transportation of things.........	...	2	2
23.3	Communications, utilities, and miscellaneous charges...........	...	7	7
25.0	Other services...................	4,140	6,838	6,838
26.0	Supplies and materials...........	284	120	120
31.0	Equipment........................	1	...	...
42.0	Insurance claims and indemnities.	4	23	23
99.9	Total obligations..............	4,447	7,000	7,000

PF1
Standard Form 300

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
POLLUTION FUND
Program and Financing (in thousands of dollars)

Identification code 69-5168-6-2-304	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations...............	...	-301	...
Financing:			
40.00 Budget authority (appropriation	...	-301	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	...	-301	...
72.40 Obligated balance, start of year.........................	...	...	-207
74.40 Obligated balance, end of year..	...	207	...
90.00 Outlays.........................	...	-94	-207

FY2

COAST GUARD--Pollution Fund

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION
Coast Guard
Retired Pay 69-0241-0-1-403
(Dollars in Thousands)

	FY 1986 Enacted	FY 1986 After Sequestration	FY 1987 Estimate
Retired Pay	[illegible]	[illegible]	[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND (SPECIAL FUND)
Amounts Available for Appropriation (in thousands of dollars)

Identification code [illegible]	1985 actual	1986 estimate	1987 estimate
Unappropriated balance brought forward:			
U. S. Securities (par)	53,478	70,442	89,135
Cash	...	...	...
Balance of fund, start of year	53,478	70,442	89,135
Collections	11,935	12,000	12,000
Interest on investments	6,358	7,610	8,800
Total available for appropriation	71,442	90,052	109,935
Appropriation (enacted)	-1,000	-917	-1,000
Unappropriated balance carried forward:			
U. S. Securities (par)	70,442	89,135	108,935
Cash	...	...	...
Balance of fund, end of year	70,442	89,135	108,935

[illegible]
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND (SPECIAL FUND)
Program and Financing (in thousands of dollars)

Identification code 69-5067-0-2-406	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations	179	1,000	1,000
Financing:			
Unobligated balance, start of year:			
21.40 Treasury balance	[illegible]	-1,254	-1,254
21.47 U.S. securities (par)	-1,012	-1,172	-1,172
Unobligated balance, end of year:			
24.40 Treasury balance	1,254	1,254	1,254
24.47 U.S. securities (par)	1,172	1,172	1,172
40.00 Budget authority (appropriation)	1,000	1,000	1,000
Relation of obligations to outlays:			
71.00 Obligations incurred, net	179	1,000	1,000
72.40 Obligated balance, start of year	244	248	248
74.40 Obligated balance, end of year	-248	-248	-248
90.00 Outlays	175	1,000	1,000

[illegible]

COAST GUARD -- Offshore Oil Pollution Compensation Fund

PROGRAM AND PERFORMANCE

The Outer Continental Shelf Lands Act Amendments of 1978 require the Coast Guard to perform additional Marine Safety and Environmental Protection missions on the Outer Continental Shelf. Title III of the law provides for an oil pollution compensation fund to pay compensation for damages, including cleanup, resulting from oil spills.

OS04
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND (SPECIAL FUND)
Object Classification (in thousands of dollars)

Identification code 69-5167-0-2-304		1985 actual	1986 estimate	1987 estimate
	Personnel compensation:			
11.1	Full-time permanent..............	238	243	...
11.5	Other civilian personnel compensation....................	10	10	...
11.9	Total personnel compensation....	248	253	...
	Personnel benefits:			
12.1	Civilian.........................	33	34	...
21.0	Travel and transportation of persons......................	9	5	5
22.0	Transportation of things.........	...	5	5
23.3	Communications, utilities, and miscellaneous charges........	43	31	31
24.0	Printing and reproduction........	...	3	3
25.0	Other services...................	42	153	164
26.0	Supplies and materials...........	4	14	14
31.0	Equipment........................	...	2	2
42.0	Insurance claims and indemnities.	...	500	776
99.9	Total obligations..............	379	1,000	1,000

OS05
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND (SPECIAL FUND)
Personnel Summary

Identification code 69-5167-0-2-304	1985 actual	1986 estimate	1987 estimate
Civilian:			
Total number of full-time permanent positions...........................	7	7	...
Total compensable workyears:			
Full-time equivalent employment...	7	7	...

OSO1
Standard Form 300

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND (SPECIAL FUND)
Program and Financing (in thousands of dollars)

Identification code 69-5167-6-2-304	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations................	...	-43	...
Financing:			
40.00 Budget authority (Appropriation)	...	-43	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	...	-43	...
72.40 Obligated balance, start of year...........................	...	...	-25
74.40 Obligated balance, end of year..	...	25	...
90.00 Outlays........................	...	-18	-25

OSO2

COAST GUARD -- Offshore Oil Pollution Compensation Fund

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION
Coast Guard
Offshore Oil Pollution Compensation Fund: 69-5167-6-2-304
(dollars in thousands)

	FY 1986 Enacted	FY 1986 After Sequestration	FY 1987 Estimate
Offshore Oil Pollution Compensation Fund:			
1. Administrative Expenses..............	$ 500	$478	$500
2. Claims and Indemnities...............	500	479	500
Total.....................................	1,000	957	1,000

(continued)

DEPARTMENT OF TRANSPORTATION
Coast Guard
Offshore Oil Pollution Compensation Fund: 69-5167-6-2-304
(continuation)
(dollars in thousands)

	FY 1986 Enacted	FY 1986 After Sequestration	FY 1987 Estimate
Offshore Oil Pollution Compensation Fund:			
Obligation Limitation....................	$60,000	$57,420	$60,000

DEPARTMENT OF TRANSPORTATION

COAST GUARD

DEEPWATER PORT LIABILITY FUND

For necessary expenses to carry out the provisions of section 18 of the Deepwater Port Act of 1974 (Public Law 93-627), $1,000,000, to be derived from the Deepwater Port Liability Fund and to remain available until expended. In addition, to the extent that available appropriations are not adequate to meet the obligations of the Fund, the Secretary of Transportation is authorized to issue, and the Secretary of the Treasury is authorized to purchase, without fiscal year limitation, notes or other obligations in such amounts and at such times as may be necessary: *Provided*, That none of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of $50,000,000 in fiscal year [1986] *1987* for the "Deepwater Port Liability Fund". *(Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190.)*

DPF1
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
DEEPWATER PORT LIABILITY FUND (SPECIAL FUND)
Amounts Available for Appropriation (in thousands of dollars)

Identification code	1985 actual	1986 estimate	1987 estimate
Unappropriated balance brought forward:			
U. S. Securities (Par)................	3,727	3,856	3,899
Cash..................................	16	...	...
Balance of fund, start of year.....	3,743	3,856	3,899
Collections...........................	133	...	...
Interest on investments...............	980	1000	1000
Total available for appropriation..	4,856	4,856	4,899
Appropriation (adjusted)..............	-1,000	-957	-1,000
Unappropriated balance carried forward:			
U. S. Securities (Par)................	3,856	3,899	3,899
Cash..................................	...	...	...
Balance of fund, end of year.......	3,856	3,899	3,899

OMB
Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
[illegible]
Program and Financing (in thousands of dollars)

Identification code [illegible]	[illegible] actual	[illegible] estimate	[illegible] estimate
Program by activities:			
10.00 Total obligations	[illegible]	[illegible]	[illegible]
Financing:			
21.40 Unobligated balance available, start of year:			
Treasury balance	[illegible]	[illegible]	[illegible]
U.S. securities: Par	[illegible]	[illegible]	[illegible]
24.40 Unobligated balance available, end of year:			
Treasury balance	[illegible]	[illegible]	[illegible]
U.S. securities: Par	[illegible]	[illegible]	[illegible]
40.00 Budget authority (appropriation)	[illegible]	[illegible]	[illegible]
Relation of obligations to outlays:			
71.00 Obligations incurred, net	[illegible]	[illegible]	[illegible]
72.40 Obligated balance, start of year	[illegible]	[illegible]	[illegible]
74.40 Obligated balance, end of year	[illegible]	[illegible]	[illegible]
90.00 Outlays	[illegible]	[illegible]	[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

DEPARTMENT OF TRANSPORTATION
COAST GUARD
DEEPWATER PORT LIABILITY FUND (SPECIAL FUND)
Object Classification (in thousands of dollars)

Identification code 69-5170-0-2-304	1985 actual	1986 estimate	1987 estimate
21.0 Travel and transportation of persons	...	5	5
22.0 Transportation of things	...	2	2
23.3 Communications, utilities, and miscellaneous charges	...	5	5
25.0 Other services	1	183	183
26.0 Supplies and materials	...	5	5
42.0 Insurance claims and indemnities	...	800	800
99.9 Total obligations, funded	1	1,000	1,000

DPF

Reduction Pursuant to Public Law 99-177
DEPARTMENT OF TRANSPORTATION
COAST GUARD
DEEPWATER PORT LIABILITY FUND (SPECIAL FUND)
Program and Financing (in thousands of dollars)

Identification code 69-5170-6-2-304	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations..............	...	-43	...
Financing:			
40.00 Budget authority (Appropriation)	...	-43	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	...	-43	...
72.40 Obligated Balance, start of year	...	...	-19
74.40 Obligated Balance, end of year..	...	19	...
90.00 Outlays.......................	...	-24	-19

DPF2

COAST GUARD -- Deepwater Port Liability Fund

Reduction Pursuant to Public Law 99-177

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

DEPARTMENT OF TRANSPORTATION
Coast Guard
Deepwater Port Liability Fund: 69-5170-6-2-304
(dollars in thousands)

	FY 1986 Enacted	FY 1986 After Sequestration	FY 1987 Estimate
Deepwater Port Liability Fund:			
1. Administrative Expenses...........	$ 200	$ 191	$ 500
2. Claims and Indemnities.............	800	757	500
Total..................................	1,000	948	1,000

(continued)

DEPARTMENT OF TRANSPORTATION
Coast Guard
Deepwater Port Liability Fund: 69-5170-6-2-304
(continuation)
(dollars in thousands)

	FY 1986 Enacted	FY 1986 After Sequestration	FY 1987 Estimate
Deepwater Port Liability Fund:			
Obligation Limitation........	50,000	47,850	$50,000

SF1 STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD SUPPLY FUND
Program and Financing (in thousands of dollars)

Identification code 69-4535-0-4-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations (object class 26.0).....................	84,059	94,035	96,450
Financing:			
Offsetting collections from:			
11.00 Federal funds.....................	-79,267	-88,174	-90,538
14.00 Non-Federal sources..............	-4,723	-5,756	-5,820
21.98 Unobligated balance available, start of year: Fund balance....	-440	-371	-266
24.98 Unobligated balance available, end of year: Fund balance.......	371	266	174
39.00 Budget authority.................	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	69	105	92
72.98 Obligated balance, start of year.	8,376	9,923	9,928
74.98 Obligated balance, end of year...	-9,923	-9,928	-9,959
90.00 Outlays.........................	-1,478	100	61

SF2

COAST GUARD--Coast Guard Supply Fund

PROGRAM AND PERFORMANCE

The Coast Guard supply fund, in accordance with 14 U.S.C. 650, finances the procurement of uniform clothing; commissary provisions; general stores; technical material; and fuel for vessels over 180 feet in length. The fund is normally financed by reimbursements from sale of goods.

YF1 STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND
Program and Financing (in thousands of dollars)

Identification code 69-4743-0-4-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
Operating expenses:			
Cost of goods sold..................	9,700	9,795	11,532
Other................................	29,694	15,938	19,671
Total operating expenses...........	39,394	25,733	31,203
Capital investment: Purchase of equipment...............	201	1,133	1,250
10.00 Total obligations................	39,595	26,866	32.453
Financing:			
Offsetting collections from:			
11.00 Federal funds: Sale of goods and services.......	-33,130	-28,674	-14,217
14.00 Non-Federal sources..............	-258	- 75	- 75
21.98 Unobligated balance available, start of year.................	-51,371	-45,164	-47,047
24.98 Unobligated balance available, end of year....................	45,164	47,047	28,886
39.00 Budget authority.............	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	6,207	- 1,883	18,161
72.98 Obligated balance, start of year...........................	16,297	10,313	10,123
74.98 Obligated balance, end of year: Fund balance..................	-10,313	-10,123	- 7,772
90.00 Outlays.......................	-12,191	- 1,693	20,512

YF2

COAST GUARD--Coast Guard Yard Fund

PROGRAM AND PERFORMANCE

This fund finances industrial operation of the Coast Guard Yard, Curtis Bay, MD (14 U.S.C.). The Yard finances its operations out of advances received from Coast Guard appropriations and other agencies for all direct and indirect costs.

ANALYSIS BY TYPE OF WORK
(Percent)

	1985 actual	1986 estimate	1987 estimate
Vessel repairs and alterations	81	72	71
Boat repairs and construction	1	1	1
Buoy fabrication	6	7	7
Fabrication of special and miscellaneous items	12	20	21
Total	100	100	100

YF# STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND
Object Classification (in thousands of dollars)

Identification code 69-4743-0-4-40	1985 actual	1986 estimate	1987 estimate
Personnel compensation:			
11.1 Full-time permanent	14,783	15,125	15,687
11.3 Other than full-time permanent	590	...	...
11.5 Other civilian personnel compensation	2,148	1,862	2,058
11.7 Military personnel	606	689	675
11.9 Total personnel compensation	18,127	17,676	18,420
Personnel benefits:			
12.1 Civilian	2,051	1,875	2,297
12.2 Military personnel	31	36	35
21.0 Travel and transportation of persons	45	88	88
22.0 Transportation of things	95	77	77
23.3 Communications, utilities, and miscellaneous charges	2,074	2,086	2,086
24.0 Printing and reproduction	6	13	13
25.0 Other services	2,581	2,425	2,551
26.0 Supplies and materials	14,383	2,173	5,835
31.0 Equipment	201	417	1,051
43.0 Interest & dividends	1	...	...
99.9 Total obligations	39,595	26,866	32,453

YF4
STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND
Personnel Summary

Identification code 69-4743-0-4-403	1985 actual	1986 estimate	1987 estimate
Military:			
Total number of full-time permanent positions...............	24	24	24
Total compensable workyears:			
Full-time equivalent employment.	24	24	24
Civilian:			
Total number of full-time permanent positions...............	654	654	654
Total compensable workyears:			
Full-time equivalent employment.	628	632	632
Full-time equivalent of overtime and holiday hours........	56	73	73

RB1 STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
AQUATIC RESOURCES TRUST FUND
Amounts Available for Appropriation (in thousands of dollars)

	1985 actual	1986 estimate	1987 estimate
Unappropriated balance, start of year..	32,500	127,632	163,400
Collections (receipts):			
Motorboat fuels tax..................	66,882	72,000	72,000
Excise taxes on sport fishing equipment..........................	38,000	70,000	70,000
Import duties on tackle and yachts.............................	20,000	60,000	41,000
Total available for appropriation..	157,382	329,632	346,400
Appropriation:			
National Park Service (Department of the Interior), Land and Water Conservation Fund...................	-1,000	-1,000	-1,000
Boat Safety..........................	-13,750	-28,710	-15,000
Operating Expenses...................	-15,000	-14,355	-15,000
Operating Expenses...................	...	...	-15,000
United States Fish and Wildlife Service (Department of the Interior), Sport Fish Restoration Account.................	...	-122,167	-161,465
Unappropriated balance, end of year....	127,632	163,400	138,935

The Internal Revenue Code of 1954, as amended, and the Federal Boat Safety Act of 1971 (P.L. 92-75), as amended, provide for the transfer of Highway Trust Fund revenue derived from the motor boat fuel tax and certain other taxes to the Aquatic Resources Trust Fund. The Secretary of the Treasury estimates the amounts to be transferred. In turn, appropriations are authorized from this fund to meet expenditures for recreational boating safety assistance and other programs specified by law.

DEPARTMENT OF TRANSPORTATION

COAST GUARD

BOAT SAFETY

[(LIQUIDATION OF CONTRACT AUTHORIZATION)]

For payment of obligations incurred for recreational boating safety assistance under Public Law 92-75, as amended, [$30,000,000] *$15,000,000*, to be derived from the Boat Safety Account and to remain available until expended: *Provided*, That none of the funds in this Act shall be available for the planning or execution of programs the obligations for which are in excess of [$30,000,000] *$15,000,000* in fiscal year [1986] *1987* for recreational boating safety assistance: *Provided further*, That no obligations may be incurred for the improvement of recreational boating facilities. *(26 U.S.C. 9503-9504; 46 U.S.C. 13106; Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190.)*

RB2 STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY ACCOUNT
Program and Financing (in thousands of dollars)

Identification code 69-8149-0-7-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
1. State recreational boating safety... programs:............................	13,750	30,000	15,000
2. Operating Expenses-Coast Guard.....	15,000	15,000	15,000
10.00 Total obligations...............	28,750	45,000	30,000
Financing:			
17.00 Recovery of prior year oblig....	- 40		
21.40 Unobligated balance available, start of year: Appropriation..	-250	-165	...
24.40 Unobligated balance available, end of year: Appropriation....	165	...	...
40.00 Budget authority (appropriation).	28,625	44,835	30,000
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	28,750	45,000	30,000
72.40 Obligated balance, start of year: Appropriation............	8,925	10,755	20,755
74.40 Obligated balance, end of year..	-10,755	-20,755	-10,755
78.00 Adjustments in unexpired accounts	- 40	...	...
90.00 Outlays.........................	26,680	35,000	40,000

Boat Safety Account

PROGRAM AND PERFORMANCE

This account provides financial assistance for the development and implementation of a coordinated national recreational boating safety program as provided for in Public Law 92-75, as amended, and Public Law 98-369. In addition, in 1987, $15 million will be transferred to Operating Expenses in accordance with Public Law 98-369. Legislation will be proposed to increase the amount authorized for transfer to Operating Expenses to $30 million.

RB# STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY ACCOUNT
Object Classification (in thousands of dollars)

69-8149-0-7-403	1985 actual	1986 estimate	1987 estimate
25.0 Other services..................	15,000	15,000	15,000
41.0 Grants, subsidies and contributions.........................	13,750	29,835	15,000
99.9 Total obligations.............	28,750	44,835	30,000

STANDARD FORM 300 Reduction Pursuant to Public Law 99-177

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY ACCOUNT
Program and Financing (in thousands of dollars)

Identification code 69-8149-6-7-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations................	...	- 1,935	...
Financing:			
40.00 Budget authority (appropriation).	...	- 1,935	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	...	- 1,935	...
72.40 Obligated balance, start of year:	...	...	- 672
74.40 Obligated balance, end of year..	...	672	...
90.00 Outlays.......................	...	- 1,263	- 672

COAST GUARD -- Boat Safety Account

Reduction Pursuant to Public Law 99-177.

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

RD2

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
BOAT SAFETY: 69-8149-6-7-403

(in thousands of dollars)

Appropriation:	FY1986 Enacted	FY 1986 After Sequestration	FY1987 Estimate
Boat Safety			
Program by activities:			
1. State Recreational Boating Safety Programs................	30,000	28,710	15,000
2. Operating Expenses, Coast Guard...	15,000	14,355	15,000
3. Proposed Legislation.............	...	...	15,000
Total................	45,000	43,065	45,000

RB2 STANDARD FORM 300

Proposed Legislation

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY ACCOUNT
Program and Financing (in thousands of dollars)

Identification code 69-8149-2-7-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
00.02 Operating Expenses, Coast Guard..	...	...	15,000
10.00 Total obligations (object class 25.0)..................	...	...	15,000
Financing:			
40.00 Budget authority (appropriation).	...	...	15,000
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	...	...	15,000
90.00 Outlays........................	...	...	15,000

COAST GUARD--Boat Safety Account

Legislation will be proposed for the Boat Safety Account to authorize an additional expenditure of $15 million from the Boat Safety Account to be used to offset Coast Guard Operating Expenses in 1987 for a total of $30 million.

GF1 STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD GENERAL GIFT FUND
(TRUST ACCOUNT)
Program and Financing (in thousands of dollars)

Identification code 69-8533-0-7-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations..............	26	80	80
Financing:			
21.40 Unobligated balance available, start of year:			
Treasury balance..............	- 6	-6	-6
U.S. securities (par).........	-150	-146	-146
24.40 Unobligated balance available, end of year:			
Treasury balance...............	6	6	6
U. S. securities (par).........	146	146	146
60.00 Budget authority (appropriation) (permanent, indefinite)........	22	80	80
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	26	80	80
72.40 Obligated balance, start of year.	2	4	34
74.40 Obligated balance, end of year...	-4	-34	-64
90.00 Outlays..........................	24	50	50

GF2

COAST GUARD--Coast Guard General Gift Fund (Trust Account)

PROGRAM AND PERFORMANCE

This trust fund, maintained from gifts and bequests, is used for purposes as specified by the donor in connection with the Coast Guard training program (10 U.S.C. 2601).

GF3 STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD GENERAL GIFT FUND
(TRUST ACCOUNT)
Object Classification (in thousands of dollars)

Identification code 69-8533-0-7-403	1985 actual	1986 estimate	1987 estimate
25.0 Other services........	19	62	62
26.0 Supplies and materials............	4	10	10
31.0 Equipment........................	3	8	8
99.9 Total obligations............	26	80	80

RD4 STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS
Program and Financing (in thousands of dollars)

Identification code 69-9981-0-8-403	1985 actual	1986 estimate	1987 estimate
Program by activities:			
1. Cadet activities..................	4,192	4,231	4,277
2. Surcharge collections, sales of commissary stores.............	288	288	297
10.00 Total obligations................	4,480	4,519	4,574
Financing:			
Offsetting collections from:			
11.00 Federal funds....................	-4,192	-4,231	-4,277
14.00 Non-Federal sources..............	-339	- 236	-245
21.98 Unobligated balance available, start of year...................	-201	- 252	-200
24.98 Unobligated balance available, end of year.....................	252	200	148
39.00 Budget authority..............	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	-52	52	52
71.98 Obligated balance, start of year.	170	212	239
74.98 Obligated balance, end of year...	-212	-239	-266
90.00 Outlays......................	-94	25	25
Distribution of outlays by account:			
Cadet activities...................	- 42	...	...
Surcharge collections, sales of commissary stores.................	- 52	25	25

COAST GUARD--Miscellaneous Trust Revolving Funds

PROGRAM AND PERFORMANCE

The Coast Guard cadet fund is utilized by the Superintendent of the Coast Guard Academy to receive, plan, control, and expend personal expenses and obligations of Coast Guard cadets.

The Coast Guard surcharge collections, sales of commissary stores fund is used to finance expenses incurred in connection with the operation of the Coast Guard commissary stores. Revenue is derived from a surcharge placed on sales (14 U.S.C. 487).

RD11
STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS
Object Classification (in thousands of dollars)

Identification code 69-9981-0-8-403		1985 actual	1986 estimate	1987 estimate
23.3	Communications, utilities and miscellaneous charges..........	17	16	16
25.0	Other services....................	2,957	2,988	3,025
26.0	Supplies and materials..........	1,478	1,495	1,513
31.0	Equipment........................	28	20	20
99.9	Total obligations............	4,480	4,519	4,574

TABLE 7

ALLOCATIONS RECEIVED FROM OTHER ACCOUNTS

NOTE: Obligations incurred under allocations from other accounts are included in the schedules of the parent appropriations as follows:

Environmental Protection Agency, "Comprehensive Environmental Response Compensation, and Liability Act Trust Fund."

U.S. COAST GUARD
FISCAL YEAR 1987
SUPPLEMENTARY DATA

CONTENTS

	Pages
Analysis of Personnel Data	219 to 222
Aircraft	223 to 224
Cutters	225 to 226
Miscellaneous Data	227 to 228
AC&I FY 1986 and FY 1987 Contract Schedules	229 to 232
Reserve Training	233 to 237

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
MILITARY FULL TIME EQUIVALENT ESTIMATES 9/30

Pay Grade	1986	1987
O-10	1	1
O-09	3	3
O-08	12	12
O-07	12	12
O-06	335	319
O-05	669	635
O-04	985	936
O-03	1,640	1,554
O-02	1,234	1,110
O-01	406	405
SUBTOTAL	5,297	4,987
W-04	304	299
W-03	596	583
W-02	551	535
SUBTOTAL	1,451	1,417
E-09	315	313
E-08	528	524
E-07	2,794	2,768
E-06	5,718	5,664
E-05	5,402	5,348
E-04	7,454	7,381
E-03	5,628	5,574
E-02	2,744	2,723
E-01	912	897
SUBTOTAL	31,495	31,192
PHS	156	155
CADETS	790	790
TOTAL	39,189	38,541

DEPARTMENT OF TRANSPORTATION
COAST GUARD

RECRUIT PERSONNEL DATA

FISCAL YEAR	REGULAR RECRUITS	RESERVE RECRUITS	TOTAL RECRUITS
1984	4,048	1,414	5,462
1985	4,716	1,245	5,961
1986 EST	4,554	1,745	6,299
1987 EST	4,433	1,795	6,228

DEPARTMENT OF TRANSPORTATION
COAST GUARD

ENLISTED PERSONNEL (E-4 & ABOVE) RETENTION[1] REENLISTMENT[2] RATES

	RETENTION		REENLISTMENT	
FY	1ST TERM	SUBSEQUENT	1ST TERM	SUBSEQUENT
1983	46.8	90.7	54.4	93.5
1984	48.0	87.5	56.5	94.1
1985	50.0	87.0	63.4	94.4
1986 (EST)	51.0	83.0	60.0	94.0
1987 (EST)	49.0	82.0	58.0	93.0

1. "RETENTION" RATE uses as a denominator the number of all enlistments expiring, including those not recommended for reenlistment. (A measure of voluntary and involuntary attrition).

2. "REENLISTMENT" RATE is defined as the percentage of all members eligible/recommended for reenlistment that do in fact reenlist. (A measure of voluntary attrition/retention).

DEPARTMENT OF TRANSPORTATION
COAST GUARD

LEASED HOUSING

NUMBER OF COAST GUARD PERSONNEL IN LEASED HOUSING, END OF:	1985 actual	1986 estimate	1987 estimate
WITH FAMILIES	3,300	3,300	3,300
UNACCOMPANIED	2,000	2,000	2,000
TOTAL	5,300	5,368	5,300

COAST GUARD PUBLIC QUARTERS

NUMBER OF QUARTERS END OF:	1985 actual	1986 estimate	1987 estimate
OWNED	4,636	4,700	4,700
LEASED	4,200	4,200	4,200

DEPARTMENT OF TRANSPORTATION
COAST GUARD

AVERAGE COST OF MILITARY PERSONNEL
PERMANENT CHANGE OF STATION (PCS)

	AMOUNT ($000)	AVERAGE NUMBER OF PERSONNEL	NUMBER OF MOVES	AVERAGE COST PER MOVE ($)
FY81	31,259	39,381	11,300	2,766
FY82	32,337	39,036	11,100	2,913
FY83	30,846	38,892	10,002	3,084
FY84	33,860	39,560	11,433	2,962
FY85	28,219	38,722	10,946	2,578
FY86 (EST.)	28,434	39,189	10,500	2,708
FY87 (EST.)	29,571	38,541	10,753	2,750

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

AIRCRAFT EMPLOYMENT HOURS

	1985 actual	1986 estimate	1987 estimate
Commercial Vessel Safety	21	49	50
Boating Safety	176	150	150
Search and Rescue	19,494	18,310	19,000
Domestic Ice Operations	153	250	250
Polar Ice Operations	1,363	1,496	1,550
Marine Science Activities	906	868	950
Enforcement of Laws & Treaties (ELT)			
Fish - Domestic	3,497	3,443	3,750
Fish - Foreign	5,153	5,046	5,600
Drugs	21,328	23,536	25,900
Other	4,789	5,661	5,950
Total ELT	34,767	37,686	41,200
Defense Readiness	1,011	1,009	1,100
Operational Training	49,032	52,527	57,100
Aids to Navigation	4,490	4,907	5,200
Port and Environmental Safety	3,226	2,341	2,750
Marine Environmental Response	1,679	2,013	2,100
Test/Ferry	4,120	4,530	4,800
Other/Misc	8,483	7,036	6,600
Total	128,912	133,172	142,800

HH-65A IMPLEMENTATION PLAN

UNIT	DATE	NUMBER
ATC MOBILE (TRADIV PART 1)	FEB 85	6
NEW ORLEANS (PART 1)	JUL 85	3
BORINQUEN	SEP 85	4
MIAMI (PART 1)	OCT 85	8
NEW ORLEANS (PART 2)	FEB 86	2
CORPUS CHRISTI	MAY 86	3
SAN DIEGO (PART 1)	JUN 86	3
BROOKLYN	AUG 86	5
SAN DIEGO (PART 2)	OCT 86	1
MIAMI (PART 2)	OCT 86	1
CAPE MAY	NOV 86	3
SAVANNAH	JAN 87	4
BARBERS POINT	FEB 87	3
LOS ANGELES	APR 87	3
ASTORIA	MAY 87	3
KODIAK	JUL 87	4
HUMBOLT BAY	AUG 87	3
PORT ANGELES	SEP 87	3
NORTH BEND	NOV 87	3
DETROIT	DEC 87	3
ATC MOBILE (POPDIV)	FEB 88	8
CHICAGO	MAR 88	2
HOUSTON	MAY 88	4
ATC MOBILE (TRADIV PART 2)	APR 88	-2
	TOTAL	80

NOTES: (1) Planned utilization of HH-65As after implementation is : 80 operational allowances, 16 support/attrition spares.

(2) When HH-65As are fully implemented, training requirements will decrease. Thus, ATC Mobile will be reduced by two operationsl allowances in APR 88.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
270' WMEC

VESSEL	HOMEPORT	DELIVERY DATE	ARRIVAL HOMEPORT	OPERATIONAL DATE	CUTTER REPLACED
A CLASS					
BEAR (901)	PORTSMOUTH, VA	83 JANUARY 25	83 APRIL	84 SEPTEMBER 30	327' WHEC CAMPBELL
TAMPA (902)	PORTSMOUTH, VA	83 DECEMBER 05	84 MARCH	85 DECEMBER	327' WHEC DUANE
HARRIET LANE (903)	PORTSMOUTH, VA	84 MAY 09	84 SEPTEMBER	86 FEBRUARY	327' WHEC BIBB
NORTHLAND (904)	PORTSMOUTH, VA	84 JULY 15	84 DECEMBER	86 MAY	327' WHEC INGHAM
B CLASS					
SPENCER (905)	BOSTON, MA	85 NOVEMBER 18	86 JULY	86 DECEMBER	327' WHEC TANEY
SENECA (906)	BOSTON, MA	86 MAY	86 OCTOBER	87 FEBRUARY	311' WHEC UNIMAK
ESCANABA (907)	BOSTON, MA	86 SEPTEMBER	87 MARCH	87 JULY	180' WMEC EVERGREEN
TAHOMA (908)	NEW BEDFORD, MA	87 JANUARY	87 JULY	87 NOVEMBER	205' WMEC CHEROKEE
CAMPBELL (909)	NEW BEDFORD, MA	87 MAY	87 NOVEMBER	88 MARCH	205' WMEC TAMAROA
THETIS (910)	LONG BEACH, CA	87 SEPTEMBER	88 MAY	88 SEPTEMBER	205' WMEC CHILULA
FORWARD (911)	LONG BEACH, CA	88 JANUARY	88 SEPTEMBER	89 JANUARY	180' WMEC CITRUS
LEGARE (912)	LONG BEACH, CA	88 MAY	89 JANUARY	89 MAY	180' WMEC CLOVER
MOHAWK (913)	LONG BEACH, CA	88 SEPTEMBER	89 MAY	89 SEPTEMBER	213' WMEC YOCONA

NOTES: (1) Delay between arrival home port and Operational Date includes:
A CLASS: Coast Guard Yard Retrofit.
B CLASS: Two month fitting for ready for sea/transit prior to CG Yard Retrofit, plus five month retrofit period.
For West Coast 270's, add 2 month transit/shakedown training after Retrofit.
(2) Cutter Replacement list has been ammended to reflect current cutter condition and location considerations.

STAFFING STANDARD FOR CUTTERS

TYPE/CLASS	OFF/WO/ENL	TOTAL CREW
WHEC 378	11/4/137	152
WHEC 327	10/3/116	129
WHEC 311	10/2/116	128
WMEC 270	9/3/87	99
WMEC 230	7/1/68	76
WMEC 213	6/1/69	76
WMEC 210A	7/1/65	73
WMEC 210B	7/1/63	71
WMEC 205	6/1/70	77
WMEC 180	4/1/41	46
WAGB 400	9/5/125	139
WAGB 310	11/4/184	199
WAGB 290	7/1/71	81
WAGB 269	12/3/137	152
WPB 95	1/0/13	14
WPB 95	1/0/13	14
WPB 82ACD	0/0/10	10
WSES 110	2/0/14	16
WTGB 140	2/1/14	17
WYTM 110	0/1/19	20
WYTL 65ABD	0/0/6	6
WYTL 65C	0/0/8	8
WLB 180	4/2/42	48
WLM 175	3/2/37	42
WLM 157	2/2/27	31
WLM 133	0/1/22	23
WLI 100	0/1/13	14
WLI 65	0/0/8	8
WLIC 160	0/1/13	14
WLIC 75A	0/0/13	13
WLR LANTANA	0/1/17	18
WLR SUMAC	0/1/21	22
WLR DOGWOOD	0/1/18	19
WLR 75	0/0/19	19
WLR 65	0/0/13	13
WLV 128	0/1/16	17

GENERAL LAW ENFORCEMENT CONTRABAND SEIZURES

	FY 81	FY 82	FY 83	FY 84	FY 85
SEIZURES: CASES...........	207	238	210	364	329
VESSELS...........	184	185	145	223	184
TONS OF MARIJUANA..........	1,860	1,798	1,150	1,429	976
POUNDS OF COCAINE..........	0.00	40.1	55.5	1,932.4	5,890.1
ARRESTS.....................	939	1,048	709	1,056	724

POLLUTION FUND - RECEIPTS AND OBLIGATIONS
(IN DOLLARS)

	APPROPRIATION	RECEIPTS	OBLIGATIONS	BALANCE
FY 71...........	20,000,000	47,675	288,255	19,759,420
FY 72...........	...	311,536	892,292	19,178,664
FY 73...........	...	634,981	9,439,340	10,374,305
FY 74...........	...	2,358,081	4,377,304	8,355,082
FY 75...........	...	1,832,090	7,806,995	2,380,177
FY 76...........	10,000,000	3,650,788	15,318,823	712,142
FY 77...........	5,000,000 1/	6,888,149	8,643,653	3,956,638
FY 78...........	10,000,000	7,144,493	9,922,986	11,178,145
FY 79...........	- 3,500,000 2/			
	13,000,000	5,105,112	18,741,710	7,041,547
FY 80...........	30,500,000	5,473,096	25,197,136	17,817,507
FY 81...........	15,000,000	7,099,910	19,745,356	20,172,061
FY 82...........	...	8,263,191	3,237,490	25,197,762
FY 83...........	- 9,000,000 2/	7,256,635	2,458,789	20,995,608
FY 84...........	...	4,792,572	3,965,934	21,822,246
FY 85...........	...	7,389,965	4,447,173	24,765,038
FY 86 EST.......	-10,000,000 3/	7,000,000	7,000,000	14,765,038
FY 87 EST.......	...	7,000,000	7,000,000	14,765,038
TOTAL........	81,000,000	82,248,274	148,483,236	14,765,038

1/ TRANSFERRED FROM AC&I
2/ TRANSFERRED TO AC&I
3/ TRANSFERRED TO OE

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
FY 1986
ESTIMATED PROJECT MILESTONES

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB ISSUED	START/AWARD DATE	COMPLETION DATE
SEATTLE, WA - SUPPORT CENTER RENOVATION - PHASE I	5	05/86	06/86	09/86	09/87
PETALUMA, CA - TRAINING CENTER -					
CONSTRUCT ET/TT CLASSROOM BUILDING	50	04/86	06/86	08/86	09/88
PORTSMOUTH, VA - COMDAC SUPPORT FACILITY - PHASE IV	80	02/86	---	10/85	01/88
MINOR AC&I SHORE CONSTRUCTION PROJECTS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
LONG BEACH, CA - 270-FOOT WMEC SHORE SUPPORT	75	05/86	06/86	09/86	09/87
SAN FRANCISCO, CA - STATION FORT POINT - MOORING IMPROVEMENTS	0	07/86	07/86	09/86	05/87
SHORT BEACH, NY - REBUILD STATION	30	06/86	07/86	09/86	01/88
LIGHTHOUSE AUTOMATION AND MODERNIZATION PROJECT (LAMP)	VARIOUS	VARIOUS	VARIOUS	VARIOUS	FY 1990
MINOR AIDS TO NAVIGATION SOLAR POWER CONVERSION	VARIOUS	VARIOUS	VARIOUS	VARIOUS	FY 1989
WATERWAYS AIDS TO NAVIGATION PROJECTS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
DEMOPOLIS, AL - ESTABLISH ANPAC	10	06/86	07/86	08/86	11/87
PORT CLARENCE, AK - REHABILITATION OF LORAN-C STATION	100	09/85	09/85	02/86	01/88
PEORIA, IL - CONSOLIDATE FACILITIES	100	08/85	11/85	04/86	06/87
NEW ORLEANS, LA - VTS SURVEILLANCE - PHASE II	5	05/86	03/86	08/86	09/87
LORAN STATION YAP - ANTENNA REPLACEMENT	100	01/86	01/86	04/86	03/87
LORAN-C SEA SITE PREPARATION	75	04/86	06/86	09/86	08/87

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
FY 1986
ESTIMATED PROJECT MILESTONES

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB (ISSUED)	START/AWARD DATE	COMPLETION DATE
ONE RIVER TENDER (WLR) FOR SECOND COAST GUARD DISTRICT	95	11/85	01/86	02/86	11/87
270-FOOT MEDIUM ENDURANCE CUTTER (WMEC) MIDLIFE MAINTENANCE AVAILABILITY	95	10/85	12/85	05/86	06/95
378-FOOT HIGH ENDURANCE CUTTER (WHEC) FLEET RENOVATION AND MODERNIZATION	100	10/83	01/84	10/85	01/93
NORTHWIND SAFETY AND SUPPORTABILITY UPGRADE	25	06/86	08/86	10/86	05/88
SHORT RANGE RECOVERY (SRR) HELICOPTERS PROCUREMENT - ESCALATION/SUPPORT	N/A	N/A	N/A	07/79	12/88
HC-130 OUTER WING REPLACEMENT	100	06/84	07/84	12/85	08/86
HU-25A SPARES PROVISIONING	95	10/86	N/A	09/86	02/87
STANDARD TERMINALS FOR VESSELS - PHASE II	80	VARIOUS	N/A	01/86	09/89
SAR HELICOPTER (FLIR) SENSORS	20	02/87	03/87	11/87	11/90
DILLINGHAM, AK - NORTHERN BRISTOL BAY VHF-FM COVERAGE	50	08/85	N/A	06/86	09/87
INFORMATION RESOURCE MANAGEMENT SYSTEMS	10	05/88	06/86	06/87	05/90
SECURE VOICE COMMUNICATIONS - PHASE II	100	---	07/84	01/86	09/88
TRAVERSE CITY, MI - AIR STATION GROUND WATER PURGING	0	06/86	07/86	09/86	09/88
KODIAK, AK - SUPPORT CENTER HEALTH CARE FACILITY	65	05/86	06/86	07/86	01/88
ALAMEDA, CA - SUPPORT CENTER - REPLACE SEAWALL AND MOORINGS	100	10/85	10/85	01/86	01/87

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
FY 1987
ESTIMATED PROJECT MILESTONES

SHORE FACILITIES AND AIDS TO NAVIGATION:	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB ISSUED	START/AWARD DATE	COMPLETION DATE
A. SHORE - GENERAL:					
1. MINOR AC&I SHORE CONSTRUCTION	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. SURVEY AND DESIGN - SHORE FACILITIES	N/A				
B. SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:					
1. NEW YORK, NY - SUPPORT CENTER ELECTRICAL DISTRIBUTION SYSTEM RENOVATION	0	11/86	12/86	01/87	03/88
C. SHORE - TRAINING FACILITIES:					
1. PETALUMA, CA - TRAINING CENTER - MOVING AND OUTFITTING FOR ELECTRONICS SCHOOL	N/A				
2. YORKTOWN, VA - RESERVE TRAINING CENTER (RTC) - CONSTRUCT MEDICAL/DENTAL BUILDING	0	08/86	10/86	12/86	12/87
D. SHORE - PERSONNEL SUPPORT FACILITIES:					
1. PETALUMA, CA - TRAINING CENTER - UNACCOMPANIED PERSONNEL HOUSING (UPH) AND DINING FACILITY	15	07/86	10/86	03/87	09/88
2. PUBLIC FAMILY HOUSING:					
SAN JUAN, PR	0	10/86	12/86	02/87	10/88
SUPRTCEN NEW YORK	0	10/86	12/86	03/87	03/88
E. SHORE - GROUPS/BASES/STATIONS/MSOS:					
1. KETCHIKAN, AK - BASE RENOVATION - PHASE I	0	10/86	02/87	06/87	02/89
2. SOUTH PORTLAND, ME - BASE MOORING IMPROVEMENT	0	08/86	10/86	01/87	05/88
3. LORAIN, OH - REPLACE STATION BUILDING	0	12/86	01/87	03/87	03/88
4. GEORGETOWN, SC - CONSTRUCT PERMANENT STATION	0	04/87	06/87	08/87	09/88
F. AIDS TO NAVIGATION FACILITIES:					
1. LIGHTHOUSE AUTOMATION AND MODERNIZATION PROJECT (LAMP)	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. WATERWAYS AIDS TO NAVIGATION PROJECTS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
BUDGET AUTHORITY/UNOBLIGATED BALANCES
($000)

	NEW BUDGET AUTHORITY	OBLIGATIONS	UNOBLIGATED BALANCE
FY 1980............	286,011	374,828	65,580
FY 1981............	333,985	320,839	82,226
FY 1982[1/]	684,000	451,807	317,352
FY 1983............	400,000	437,692	291,860
FY 1984[2/]	669,000	435,625	531,435
FY 1985	374,200	515,683	411,024
FY 1986 EST........	217,300	430,000	209,524
FY 1987 EST........	77,100	228,000	69,824

[1/] INCLUDES $300M FROM FY82 DOD APPROPRIATION ACT (P.L. 97-114).

[2/] INCLUDES $300M FROM FY84 DOD APPROPRIATION ACT (P.L. 98-212).

COAST GUARD--RESERVE TRAINING

PROGRAM AND PERFORMANCE

The Coast Guard Reserve Force will mobilize its qualified individuals and trained units to active duty in event of war, national emergency or domestic disaster. This force keeps ready through realistic coordinated training in wartime skills, formal training in military skills, and performing peace time duties with the Regular Forces during normal and emergency operations. The program will provide a Ready Reserve of 19,000 including a Selected Reserve of 13,000.

Direct Program:

1. Initial training--Direct costs of initial training for non-prior service recruits are programmed under this activity.

2. Continuing training--Direct costs of officer and enlisted drills and annual active duty for training are programmed under this activity.

3. Operation and maintenance of training facilities--Reserve training facilities for operation and maintenance are programmed under this activity.

4. Administration--All administrative costs for the Reserve Forces program are programmed under this category.

5. Miscellaneous services for other accounts--Coast Guard mobilization related activities for the Selected Service System is reimbursed under this activity.

DAYS OF TRAINING

	1985 actual	1986 estimate	1987 estimate
1. Initial training: Initial active duty for training.........	72,667	110,964	128,975
2. Continuing training:			
Selected Reserve (with pay)			
Active duty for training.......	115,839	135,972	139,620
Drills (12-48 per year)........	501,335	524,482	528,106
Other Ready Reserve (without pay)			
Active duty for training.......	800	800	800
Drill training.................	15,206	15,000	15,000

The table below shows the personnel strength in the various Reserve manpower categories on 30 September 1985, 1986, and 1987.

PERSONNEL IN THE COAST GUARD RESERVE

	1985 actual	1986 estimate	1987 estimate
1. Ready Reserve:			
a. Selected:			
(1) Initial training 2/..........	418	300	300
(program input) 3/..........	(705)	(1,070)	(1,070)
(2) Continuing training:			
Drill pay strength...........	12,172	12,300	12,800
Subtotal.......................	12,590	12,600	13,100
b. Individual Ready Reserve........	5,288	5,651	6,000
Subtotal, Ready Reserve.........	17,878	18,251	19,100
2. Standby Reserve:			
a. Active status..................	10	10	10
b. Inactive status................	805	805	805
Subtotal, Standby Reserve.......	815	815	815
Total 1/..........................	18,693	19,066	19,915

1/ Excludes personnel on extended active duty.
2/ Includes personnel in the second period of a two part initial training program.
3/ Net non-prior service recruit accessions.

COAST GUARD SELECTED RESERVE RECRUITING

FISCAL YEAR	NON-PRIOR SERVICE	PRIOR SERVICE	TOTAL RECRUITS
1983	820	570	1,390
1984	744	670	1,414
1985	705	540	1,245
1986 (est)	1,070	675	1,745
1987 (est)	1,070	725	1,795

Note: Non-prior service includes regular recruit training attrition and direct petty officers.

COAST GUARD SELECTED RESERVE REENLISTMENT RATES (PERCENT)

	FY-85	FY-86 (EST)	FY-87 (EST)
ENLISTED NON-PRIOR SERVICE	40	46	48
ENLISTED PRIOR SERVICE	70	72	71
TOTAL ENLISTED SELECTED RESERVE	65	66	68

END OF YEAR
COAST GUARD RESERVE STRENGTH

	TOTAL STRENGTH	OFFICERS	ENLISTED
SELECTED RESERVE:			
SEPTEMBER 30, 1981	11,944	1,476	10,468
SEPTEMBER 30, 1982	11,846	1,497	10,349
SEPTEMBER 30, 1983	12,156	1,564	10,592
SEPTEMBER 30, 1984	12,300	1,500	10,800
SEPTEMBER 30, 1985	12,590	1,557	11,033
SEPTEMBER 30, 1986 (est)	12,600	1,583	11,017
SEPTEMBER 30, 1987 (est)	13,100	1,645	11,455
READY RESERVE:			
SEPTEMBER 30, 1981	20,855	3,305	17,550
SEPTEMBER 30, 1982	19,072	3,095	15,977
SEPTEMBER 30, 1983	17,243	2,298	14,945
SEPTEMBER 30, 1984	17,595	2,100	15,495
SEPTEMBER 30, 1985	17,878	2,246	15,632
SEPTEMBER 30, 1986 (est)	18,251	2,784	15,467
SEPTEMBER 30, 1987 (est)	19,100	2,899	16,201

The Selected Reserve is composed of members that drill one weekend a month and are on active duty for two weeks during the year. This group has the highest priority for mobilization.

The Ready Reserve is composed of both the Selected and Individual Ready Reserve (IRR). IRR are members that can be called up upon mobilization but are not required to drill.

RESERVE AUGMENTATION TRAINING TIME BREAKDOWN
(PERCENT)

	FY-83	FY-84	FY-85	FY-86 (EST)	FY-87 (EST)
BOAT CREWS..........................	24.4	22.3	28.2	28.2	30.7
PORT SAFETY.........................	24.1	25.6	22.2	22.2	21.4
STAFF SUPPORT.......................	15.0	15.4	17.6	17.6	17.0
SHORESIDE OPERATIONS................	29.5	30.0	25.6	25.6	24.7
VESSELS.............................	7.0	6.7	6.4	6.4	6.2

Note: Reservists perform augmentation training regardless of their training level. They may be recently out of bootcamp or career petty officers.

HOURS OF RESERVE AUGMENTATION OF THE ACTIVE COAST GUARD

FISCAL YEAR	HOURS
1981	1,543,000
1982	1,762,025
1983	1,610,225
1984	1,676,800
1985	1,698,384
1986 (est)	1,952,964
1987 (est)	2,120,332

BUDGET ESTIMATES

FISCAL YEAR 1987

FEDERAL HIGHWAY ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FISCAL YEAR 1987 CONGRESSIONAL BUDGET SUBMISSION

TABLE OF CONTENTS

ITEM	PAGE NO.
INTRODUCTION	1
LIMITATION ON GENERAL OPERATING EXPENSES	11
I. FINANCIAL REQUIREMENTS	14
II. CONTRACT AND OTHER NO YEAR PROGRAMS	24
MOTOR CARRIER SAFETY (GENERAL FUND)	59
MOTOR CARRIER SAFETY (TRUST FUND)	70
HIGHWAY SAFETY RESEARCH AND DEVELOPMENT	98
EXPRESSWAY GAP CLOSING DEMONSTRATION PROJECT	102
HIGHWAY-RELATED SAFETY GRANTS	107
RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS (18 CITIES)	116
ACCESS HIGHWAYS TO . . . LAKES	124
WASTE ISOLATION PILOT PROJECT	130
FEDERAL-AID HIGHWAYS	134
HIGHWAY TRUST FUND STATUS TABLES	156
RIGHT-OF-WAY REVOLVING FUND	163
MISCELLANEOUS HIGHWAY TRUST FUNDS	172
MISCELLANEOUS APPROPRIATIONS	174
MISCELLANEOUS TRUST FUNDS	180
TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS	186
MOTOR CARRIER SAFETY GRANTS	193
BALTIMORE-WASHINGTON PARKWAY	201
GENERAL PROVISIONS	205

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

INTRODUCTION

The FY 1987 Budget Estimates for the Federal Highway Administration (FHWA) are based on the proposed Surface Transportation Reauthorization legislation, which is also being transmitted to Congress at this time. In broad outline, this proposed legislation, which would: (1) extend dollar authorizations through FY 1990 (four years): (2) redefine the roles of the Federal, State, and local governments in carrying out the highway and mass transit programs; (3) maintain highway user fees at their current levels; (4) propose to eliminate certain current unwarranted exemptions from the Federal excise taxes; and (5) equate annual budget authority to the average estimate revenues projected to be paid into the Highway Trust Fund over the proposed life of the bill.

In the sections of the budget which follow this introduction, individual appropriation accounts are discussed and justified in both tabular and narrative form. A summary table of requirements and itemization of program, projects, and activities as required is included as a part of the introduction to aid in giving perspective to the Federal Highway Administration's total budget estimate for FY 1987, and F.Y. 1986 implementation of P.L. 99-177 and P.L. 99-190.

Highlighted below are some specific elements of particular importance in reviewing and considering the various requests.

1. Magnitude of the Estimate

The philosophy underlying the proposal to provide for highway program goals within a total obligation and outlay level that is restrained by the deficit target consistent with the Balanced Budget and Emergency Deficit Control Act of 1985 (PL 99-177, commonly referred to as the Gramm-Rudman-Hollings Act). For those programs financed from the Highway Trust Fund, both the FHWA budget and legislation proposes a "deficit neutral" position in which average revenues (excluding interest) are approximately equal to annual budget authority so that Highway Trust Fund programs do not increase or decrease the Federal deficit.

Obligations

Program level (obligations) is a significant financial indicator of program action and direction being proposed for the budget year. In most FHWA accounts, obligations are equal to budget authority.

In total, an obligation level of $12.839 billion is expected for all programs in FY 1987. This compares with an enacted FY 1986 level of $14.116 billion and a $13.564 billion dollar level in FY 1986 (after PL 99-177 reductions are considered), and $14.189 billion dollar actual level in FY 1985.

Outlays

Outlays, although not a direct indicator of program progress, are the primary factor in considering budget deficits, now addressed by PL 99-179, and economic forecasts. It is estimated that FHWA outlays will approximate $13.385 billion in FY 1987 compared to actual FY 1985 of $12.883 billion and estimated enacted FY 1986 of $13.993 billion and $13.894 billion, after P.L. 99-177, respectively.

2. Federal-Aid Highways Legislation Limitations/Appropriation Language/ Other Elements

Legislation

The legislative proposal and budget include several important changes affecting the Federal-Aid Highways account. The key changes are: The combination of the Interstate, Interstate 4R and Primary programs into a single program; to set aside prior to apportionment $50 million within that new program for Motor Carrier Safety Grants; and the introduction of a Highway and Transit Block Grant $2.2 billion per year would be authorized from the Highway Trust Fund Highway Account, and $1.22 billion from the Mass Transit Account. The FHWA Block Grant program would replace the Secondary System, Urban System and the non-primary portion of the Bridge Replacement programs.

Obligation Limitation

An FY 1987 obligation limitation of $12.420 billion is proposed. The obligation limitations in FY 1986 and FY 1985 are $12.202 billion (which is the FY 1986 Appropriation Act amount of $12.750 billion reduced by 4.3 percent for the Balanced Budget and Emergency Deficit Control Act of 1985) and $13.250 billion respectively.

Appropriation Language/General Provision

The budget proposes that the following points pertaining to Federal-aid highways be contained in the FY 1987 Appropriation Act: (1) obligations for all programs would be limited to $12.420 billion, exempting funds for Emergency Relief and Minimum Apportionment projects, (2) distribution of the obligation limitation to the States by a formula based upon both apportionments and allocations; (3) for the first quarter of FY 1987, no State can obligate more than 40% of its share of limitation, and the share of obligations by all the States cannot be more than 25 percent of the National obligation limitation; (4) a provision to prevent lapse of non-Interstate authority; (5) redistribution of unobligated limitation after August 1, 1987, with priority given to States having large unobligated balances of apportioned funds and to States which have experienced substantial proportional reductions in their apportionments and allocations because of statutory changes in certain highway legislation; and (6) a provision excluding from distribution of obligation limitation: (a) administrative expenses, (b) Federal lands highways, (c) the New Highway and Transit Block Grant Porgram, (d) the Strategic Highway Research Program, and (e) the Motor Carrier Safety Grants Program.

3. Personnel Resources

The personnel resources contained in the budget are summarized as follows:

	1986	1987
Positions	3,458	3,327
End-of-Year Employment	3,364	3,227
Full-Time Equivalent Workyears	3,599	3,497

4. The Balanced Budget and Emergency Deficit Control Act of 1985 (P.L.99-177)

In accordance with the provisions of the Balanced Budget and Emergency Deficit Control Act of 1985, Public Law 99-177, the Office of Management and Budget and Congressional Budget Office (CBO) reported amounts and percentages by which various budget authority and limitations are to be sequestered in order to eliminate specific amounts in FY 1986. These amounts were reported to the Comptroller General of the United States, who reviewed the proposed sequestrations and transmitted the Report to the President. The Presidential order to sequester funds specified was issued on February 1, 1986, and the planned reduction will take effect on March 1, 1986, unless altered by an act of Congress.

The summary table that follows this introduction gives details on this matter.

The budget schedules for these amounts and other material are shown along with the "parent" accounts.

5. Other Highlights

-- $14.5 million for the Bureau of Motor Carrier Safety (BMCS) to provide for expanded program operations and contract research. A major highway safety initiative to hire 150 safety specialists approximately doubling the current number of field personnel is proposed. This initiative, which would begin in FY 1986 pending reprogramming approval of administrative resources within the BMCS account, is estimated to cost about $4.0 million in FY 1987. Also, beginning in FY 1987, this account is proposed to be financed from the Highway Trust Fund.

-- A limitation of $204.2 million on General Operating Expenses (GOE) is being requested in FY 1987, an increase of $2.8 million above FY 1986 enacted and $11.2 million over the FY 1986 level after sequestration. This change results primarily from various adjustments to base and built-in changes together with requested adjustments in several programs. Consistent with the theme of privatization, the FY 1987 Budget also recommends carrying out operation of the FHWA research facility by contract with a non-Federal entity.

-- $10.0 million is requested for the Highway-Related Safety Grants program, which will help States implement and maintain highway-related safety standards.

-- $7.0 million is requested for Highway Safety Research and Development which is $1.3 million less than FY 1986 enacted and $.8 million less than the amount in FY 1986 after sequestration. This reduction has been made to partially offset the important increase in staff of the Motor Carrier Safety program.

6. Consulting Services and Working Capital Fund Charges

Section 319(a) of P.L. 97-102, the FY 1982 Department of Transportation Appropriations Act, requires that each Federal agency identify in the Budget Estimate consulting services amounts by object, and provide narrative justification. FHWA employs no consultants and our FY 1987 estimates contain no funds for consulting services.
The House Report for PL 97-102, the FY 1982 DOT Appropriations Act, directed that Budget Estimates specify amounts for payment to the Office of the Secretary Working Capital Fund. In F.Y. 1987, $4.144 million from the Limitation on General Operating Expenses will finance services provided through the Office of the Secretary Working Capital Fund.

Summary of Requirements and Program, Project, and Activity Table

In accordance with previous formats for the Congressional Budget and the request by the Subcommittees to display program, projects, and activities (reference Statement of the Managers Conference Report) as well as the effect of sequestration and any adjustments, (which occur in the GDE and MLS accounts only) the table that follows this page is included.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
SUMMARY OF REQUIREMENTS
INCLUDING F Y 1986 REQUIREMENTS
REQUESTED BY APPROPRIATIONS
COMMITTEES
(PROGRAMS, PROJECTS, AND ACTIVITIES APPLICABLE IN
F Y 1986-SHOWN IN OTHER YEARS FOR COMPARATIVE
PURPOSES ONLY) IN THOUSANDS OF DOLLARS

	F Y 1985 Actual	F Y 1986 Enacted	F Y 1986 After Sequestering	F Y 1986 Adjusted	F Y 1987 Estimated
LIMITATION ON GENERAL OPERATING EXPENSES					
Limitation	(204,452)	(203,761)	(194,999)	(194,999)	(206,191)
Program, Project, and Activity					
Contract Programs	(57,750)	(48,415)	(46,333)	(39,614)	(41,038)
Other	(146,702)	(155,346)	(148,666)	(155,385)	(165,153)
Positions	2,673	2,629	2,629	2,629	2,463
Full-time equivalents	2,692	2,704	2,688	2,688	2,516
MOTOR CARRIER SAFETY (GENERAL FUNDS)					
Budget Authority					
(Appropriation)	13,902	13,900	13,302	13,302	
Program, Project, and Activity					
Motor Carrier Operations	(11,139)	(11,364)	(10,876)	(12,590)	
Motor Carrier Research	(1,162)	(953)	(912)	(712)	
Administrative Support	(1,601)	(1,601)	(1,532)		
Obligations	12,868	15,020	14,422	14,422	
Outlays	12,637	14,450	13,913	13,913	1,601
Positions	271	373	373	375	
Full-time equivalents	248	305	305	305	
MOTOR CARRIER SAFETY (TRUST FUNDS)					
Budget Authority					
(Appropriation)					19,515
Obligations					19,515
Outlays					17,114
Positions					433
Full-time equivalents					401
HIGHWAY SAFETY RESEARCH AND DEVELOPMENT					
Budget Authority					
(Appropriation)	8,500	8,500	8,134		7,000
Obligations	7,644	9,533	9,167		7,000
Outlays	9,750	8,243	8,175		9,081

	F Y 1985 Actual	F Y 1986 Enacted	F Y 1986 After Sequestering	F Y 1986 Adjusted	F Y 1987 Estimated
HIGHWAY-RELATED SAFETY GRANTS					
Contract Authority	10,000	10,000 ✓	9,570		10,000
Program, Project, and Activity					
State and Community Grants	(9,900)	(9,900)	(9,474)		(9,900)
Administration of Grants	(100)	(100)	(96)		(100)
Obligation Limitation	(10,000)	(10,000)	(9,570)		(10,000)
Obligations	10,000	10,000	9,570		10,000
Outlays	11,548	9,791	9,705		10,906
Liquidating Cash	5,000	9,000	9,000		12,000
RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS(Sec 163) 18 CITIES					
Budget Authority (Appropriation)	9,880	5,333	5,104		
Program, Project, and Activity					
Lincoln, Nebraska	(600)	(1,000)	(957)		
Pine Bluff, Arkansas	(1,966)	(333)	(319)		
Augusta, Georgia	(1,613)	(333)	(319)		
Carbondale, Illinois	(167)	(1,000)	(957)		
Brownsville, Texas	(500)	(833)	(797)		
Lafayette, Indiana	(2,333)	(1,833)	(1,754)		
Springfield, Illinois	(2,700)				
Obligations	4,400	8,400	8,171		9,148
Outlays	3,890	5,734	5,700		7,473
MISCELLANEOUS APPROPRIATIONS					
Budget Authority (Appropriation)	13,750				
Obligations	12,187	87,078	87,078		
Outlays	243,985	123,575	123,575		107,485
ACCESS HIGHWAYS TO LAKES					
Budget Authority (Appropriation)	5,000	5,000	4,785		
Obligations	9,246	12,438	12,223		
Outlays	4,133	10,199	10,160		9,690
WASTE ISOLATION PILOT PROJECT ROADS					
Budget Authority (Appropriation)	16,400	7,000	6,699		
Obligations	12,123	11,277	10,976		
Outlays	235	9,318	9,262		8,805

	F.Y. 1985 Actual	F.Y. 1986 Enacted	F.Y. 1986 After Sequestering	F.Y. 1986 Adjusted	F.Y. 1987 Estimated
FEDERAL-AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION					
Contract Authority	14,908,042	15,344,163	14,684,364	14,684,364	12,770,000
Program,Project,and Activity					
Interstate construction-(primary-FY87)	(3,960,000)	(3,960,000)	(3,789,720)	(3,789,720)	(7,616,533)
Interstate 4R	(2,772,000)	(3,118,500)	(2,984,405)	(2,984,405)	...
Interstate substitutions	(694,750)	(719,562)	(688,621)	(688,621)	(488,750)
Primary System	(2,328,093)	(2,479,572)	(2,372,950)	(2,372,950)	...
Secondary System	(643,500)	(643,500)	(615,830)	(615,830)	...
Urbanized Trns. Programs	(792,000)	(792,000)	(757,944)	(757,944)	...
Bridge Programs	(1,732,500)	(2,029,500)	(1,942,232)	(1,942,232)	(1,221,875)
Consolidated Safety Programs	(386,100)	(386,100)	(369,498)	(369,498)	(356,788)
Administration and Research	(135,650)	(143,838)	(137,653)	(137,653)	(230,700)
Block Grants			...	...	(2,200,000)
Motor Carrier Safety Grants	...	...	...	...	(50,000)
Other	(1,463,449)	(1,071,591)	(1,025,513)	(1,025,513)	(605,355)
Obligation Limitation	(13,250,000)	(12,750,000)	(12,201,750)	(12,201,750)	(12,420,000)
Obligations	14,055,354	13,905,000	13,356,750	13,356,750	12,770,000
Outlays	12,584,323	13,759,600	13,665,092	13,665,092	13,183,778
Liquidating Cash	12,800,000	13,836,000	13,836,000	13,836,000	13,036,000
Positions	243	225	225	225	230
Full-time equivalents	271	272	272	272	282
RIGHT-OF-WAY REVOLVING FUND (LIQUIDATION OF CONTRACT AUTHORIZATION					
Obligations	36,848			...	
Outlays	(15,099)		(2,150)	(2,150)	
Loan Limitation	(50,000)	(50,000)	(47,850)	(47,850)	(50,000)
TRUST FUND SHARE OF OTHER HIGHWAY PROG					
Budget Authority (Appropriation)	19,760	10,667	10,208	10,208	
Program,Project,and Activity					
Lincoln,Nebraska	(1,200)	(2,000)	(1,914)	(1,914)	...
Pine Bluff,Arkansas	(3,933)	(667)	(638)	(638)	...
Augusta,Georgia	(3,227)	(667)	(638)	(638)	...
Carbondale,Illinois	(334)	(2,000)	(1,914)	(1,914)	...
Brownsville,Texas	(1,000)	(1,667)	(1,595)	(1,595)	...
Lafayette,Indiana	(4,666)	(3,667)	(3,509)	(3,509)	...
Springfield,Illinois	(5,400)				
Obligations	8,800	16,600	16,141	16,141	18,276
Outlays	10,298	12,475	12,406	12,406	15,444

MOTOR CARRIER SAFETY GRANTS	F.Y. 1985 Actual	F.Y. 1986 Enacted	F.Y. 1986 After Sequestering	F.Y. 1986 Adjusted	F.Y. 1987 Estimated
Budget Authority (Appropriation)	14,000	17,000	16,269		...
Obligations	12,111	19,757	19,026		...
Outlays	9,072	27,269	26,593		932

MISCELLANEOUS TRUST FUNDS	F.Y. 1985 Actual	F.Y. 1986 Enacted	F.Y. 1986 After Sequestering	F.Y. 1986 Adjusted	F.Y. 1987 Estimated
Budget Authority (Appropriation)	7,396	4,322	4,322		4,981
Obligations	6,934	5,153	5,153		4,981
Outlays	6,590	5,372	5,372		5,595
Liquidating Cash	34	818	818		...
Positions	38	15	15		15
Full-time equivalents	17	16	16		16

BALTIMORE-WASHINGTON PARKWAY	F.Y. 1985 Actual	F.Y. 1986 Enacted	F.Y. 1986 After Sequestering	F.Y. 1986 Adjusted	F.Y. 1987 Estimated
Budget Authority (Appropriation)		3,000	2,871		...
Obligations	...	3,000	2,871		...
Outlays	...	818	794		1,081

MISCELLANEOUS HIGHWAY TRUST FUNDS	F.Y. 1985 Actual	F.Y. 1986 Enacted	F.Y. 1986 After Sequestering	F.Y. 1986 Adjusted	F.Y. 1987 Estimated
Budget Authority (Appropriation)	2,750	...	...		...
Obligations	324	3,556	3,556		...
Outlays	1,506	3,889	3,889		3,521

EXPRESSWAY GAP CLOSING DEMONSTRATION	F.Y. 1985 Actual	F.Y. 1986 Enacted	F.Y. 1986 After Sequestering	F.Y. 1986 Adjusted	F.Y. 1987 Estimated
Budget Authority (Appropriation)		9,000	8,613		...
Obligations	...	9,000	8,613		...
Outlays	...	1,800	1,729		2,750

	F.Y. 1985 Actual	F.Y. 1986 Enacted	F.Y. 1986 After Sequestering	F.Y. 1986 Adjusted	F.Y. 1987 Estimated
GRAND TOTAL-FHWA					
Contract Authority/Budget Authority	15,029,370	15,437,885	14,774,241		12,811,496
Obligations	14,188,839	14,115,817	13,563,717		12,838,920
Outlays	12,883,068	13,992,733	13,894,215		13,385,246
Liquidating Cash	12,805,034	13,845,818	13,845,818		13,048,000
Positions					
Direct	3,225	3,242	3,242		3,141
Financed from transfer and reimbursable accounts	181	216	216		186
Total Positions	3,406	3,458	3,458		3,327
Full-time Equivalents					
Direct	3,228	3,297	3,281		3,215
Financed from transfer and reimbursable accounts	229	243	243		207
Not subject to Ceiling	97	75	75		75
Total Full-time Equivalents	3,554	3,615	3,599		3,497

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

Necessary expenses for administration, operation, and research of the Federal Highway Administration, not to exceed [$203,761,000] $206,191,000, shall be paid, in accordance with law, from appropriations made available by this Act to the Federal Highway Administration together with advances and reimbursements received by the Federal Highway Administration: Provided, That not to exceed [$48,415,000] $41,038,000 of the amount provided herein shall remain available until expended: [Provided further, That all unobligated amounts made available under this head in prior fiscal years for the establishment and implementation of a demonstration bonding program for economically and socially disadvantaged businesses shall remain available for such purposes until expended:] Provided further, That, notwithstanding any other provision of law, there may be credited to this account funds received from States, counties, municipalities, other public authorities and private sources, for training expenses incurred for non-Federal employees[: Provided further, That none of the funds provided in this Act shall be used for the approval of, or to pay the salary of any person who approves projects to construct a landfill in the Hudson River as part of an Interstate System highway in New York City]. (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190.)

FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

The Limitation on General Operating Expenses provides for virtually all of the salaries, expenses, and research and development programs of the Federal Highway Administration. The resources for this account are derived solely from reimbursements and transfers from other accounts.

An administrative takedown from Federal-aid Highways, combined with a transfer from Highway-Related Safety Grants, and the entire appropriation for Highway Safety Research and Development, will fund the proposed General Operating Expenses obligations in FY 1987.

The following table summarizes the financial arrangements for the Limitation on General Operating Expenses in FY 1986 and FY 1987.

	(In thousands of dollars)	
	Revised FY 1986	FY 1987 Request
Transfers from:		
Federal-aid Highways	$185,237	$199,091
Highway Safety Research and Development	8,134	7,000
Motor Carrier Safety	1,532	
Highway-Related Safety Grants	96	100
Limitation on General Operating Expenses	194,999	206,191
Unobligated Carryover:		
R&D Highways	889	...
Highway Safety, R&D	1,033	...
Skill Training	503	...
Minority Business Enterprise	2,268	...
Bonding Program	5,000	...
RTAP	167	...
ITP	45	...
Commodity Flow	45	...
Nat'l Acc. Sampling	34	...
Fairbank HRC	8	...
Cost Allocation	3	...
Total Obligations	$203,994	$206,191

GENERAL OPERATING EXPENSES
FY 1987 CONGRESSIONAL BUDGET SUBMISSION
(dollars in thousands)

2-18-86

Personnel Resources	FY 1985 Approp	Revised FY 1986 Approp	Adjustments to Base and Built-in Changes: Moving Costs	Empl Comp Fund	Merit Pay and WIGS	Merit Perf Awards	Increased SLUC Charges	FTE's Transf to MCS	Estimated Inflation	FY 1986 ADJUSTED BASE	Program Changes: Admin Savings	Privatize Research Facility	Contract Program Changes	Other Program Changes	TOTAL FY 1987 REQUEST
Full-time Permanent Positions	2,673	2,629								2,629	(8)	(158)			2,463
Full-time Permanent FTE's	2,618	2,574						(6)		2,568	(8)	(150)			2,410
Other than FTP FTE's	285	189								189					189
Financial Resources															
Salaries and Benefits	$117,935	$116,310	$932	$334	$1,855	$1,300		($235)		$120,496	($340)	($7,494)			$112,662
Travel	5,138	4,684							$197	4,881					4,881
Transportation	703	653							27	680					680
Rent, Comm., & Util.	15,871	14,726					1,180		417	16,323					16,323
Std. Level User Charges	10,106	9,761					1,180			10,941					10,941
Other	5,765	4,965							417	5,382					5,382
Printing	1,088	1,209								1,209					1,209
Other Services	60,323	55,716							806	56,522		7,494	1,424	2,864	68,304
Contract Programs	43,684	39,614							0	39,614		0	1,424	0	41,038
R&D Highways	12,355	12,244								12,244			2,756		15,000
Highway Safety R&D	7,243	8,134								8,134			(1,134)		7,000
Skill Training	4,760	4,294								4,294			(1,794)		2,500
Minority Bus. Enterprise	8,521	8,588								8,588			1,412		10,000
Bonding Demo	5,000	0								0			0		0
Interjur. Trucking Prog	767	853								853			(353)		500
Nat. Accident Sampl. Survey	334	400								400			(50)		350
Truck & Commodity Survey	774	50								50			800		850
Rural Transp. Assist	4,260	4,251								4,251			587		4,838
Va. Highway Studies		300								300			(300)		0
Los Alamos To Santa Fe Study		500								500			(500)		0
Other Programs	16,639	16,102							806	16,908		7,494	0	2,864	27,266
National Highway Institute	1,430	1,000								1,000				416	1,416
Demonstration Projects	3,000	1,470								1,470				1,500	2,970
ADP Support/WCF/TCC, etc.	12,209	13,632							806	14,438		7,494		948	22,880
Supplies	1,231	957							40	997					997
Equipment	2,163	744							46	790				345	1,135
Total Limitation	$204,452	$194,999	$932	$334	$1,855	$1,300	$1,180	($235)	$1,539	$201,898	($340)	$0	$1,424	$3,209	$206,191

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

FINANCIAL REQUIREMENTS

A Limitation on General Operating Expenses of $206,191,000 for F.Y. 1987 is proposed, which represents a net increase of $11,192,000 when compared to the estimated F.Y. 1986 obligation level of $194,999,000. The increase has two components: adjustments to base and built-in increases of $6,899,000; and program changes resulting in an increase of $4,293,000. The changes can be analyzed as follows:

	($000)	
Analysis of changes from F.Y. 1986 to F.Y. 1987		
F.Y. 1986 Limitation for General Operating Expenses, F.Y. 1986		$194,999
Adjustments to base		
Moving Costs	+932	
Employee Compensation Fund	+334	
Merit Pay and Within Grades	+1,855	
Merit Performance Awards	+1,300	
Increased SLUC Charges	+1,180	
FTE's transferred to MCS	-235	
Estimated Inflation	+1,533	
Subtotal, Adjustments to Base		+6,899
Program Changes		
Administrative Savings	-340	
National Highway Institute	+416	
Demonstration Projects	+1,500	
Central Support Services	+327	
Data Systems (Incl. TCC)	+621	
Equipment	+345	
Contract Programs:	+1,424	
R&D Highways	+2,756	
Highway Safety, R&D	-1,134	
Skill Training	-1,794	
Minority Business	+1,412	
Interjur. Trucking Program	-353	
Nat'l Accident Sampling System	-50	
Truck & Commodity Surveys	+800	
RTAP	+587	
Virginia Highway Studies	-300	
Los Alamos to Sante Fe Study	-500	
Subtotal, Program Changes		+4,293
Total F.Y. 1987 Requirements		$206,191

LIMITATION ON GENERAL OPERATING EXPENSES

NARRATIVE EXPLANATION

($000's)

Adjustments to Base

Moving Costs	+932

Two recent laws have been passed that significantly affect the costs associated with an employee's change of duty station. Specifically funds are required to cover new requirements identified as relocation services and relocation taxes.

Please note that this increase has been offset, i.e., is net of, by the amount of the MCS moving costs previously included in the administrative transfer amount and which is now proposed to be budgeted directly in the Motor Carrier account.

Employee Compensation Fund	+334

This amount reflects the increase necessary to cover the Department of Labor's (DOL) billing for compensation costs for injuries and deaths.

Merit Pay and Within Grades	$+1,855

Within-grade increases (WIG's) are mandatory expenses that must be paid to those employees having spent the required time period at their present step-in-grade while maintaining at least a satisfactory work performance rating. This also includes that part of merit pay increases equivalent to WIG's for GM employees.

Merit Performance Awards	+1,300

This amount is requested to cover costs associated with legislation enacted late in calendar year 1984 that requires that not less than 3/4% and not more than 1 1/2% of total General Merit salaries be paid to GM employees in performance awards. Although these costs were mandated effective in F.Y. 1985, due to the timing of the enacted law it did not permit the inclusion of necessary dollar resources to be budgeted in fiscal years 1985 and 1986. This increase would allow for the restoration of these previously absorbed costs.

Increased SLUC Charges	+1,180

This cost for office rent is based on information from GSA for field space and OST for Washington Headquarters space. Although our square footage for leased space has decreased, it does not offset the increase in rent rates to be charged by GSA in F.Y. 1987.

FTE's Transferred to MCS -235

While all FTE's are considered essential to responsibly address FHWA's legislated programs, in the interest of limiting Federal employment together with fully utilizing the twelve Motor Carrier positions approved in the FY 1986 budget cycle, we are proposing to transfer six FTE's from this account to MCS. This reduction reflects the dollars associated with these six FTE's proposed for transfer.

Estimated Inflation +1,533

This amount reflects a projected inflation factor of approximately 8% for F.Y. 1987 to cover increased operating costs. While we have not been given an inflation rate for the last several years, we are only requesting an increase that would equal the estimated inflation rate for fiscal years 1986 and 1987.

Subtotal, Adjustments to Base (+6,899)

Program Changes

Administrative Savings -340

This amount reflects FHWA's share of the administrative consolidated savings.

National Highway Instituite +416

This amount reflects an increase from $1,000 in F.Y. 1986 to $1,416 in F.Y. 1987.

Demonstration Projects +1,500

Reflects an increase from $1,470 in F.Y. 1986 to $2,970 in FY 1987.

Central Support Services +327

Of this increase $150,000 is required for additional services billed through the Working Capital Fund (WCF). The increases are for overhead, new guard service and copy management which includes copier rentals, maintenance, purchases and supplies.

An increase of $112,000 is required to cover mandatory wage increase for employees on the Facilities Management services contract at TFHRC and the word processing contract in the Nassif Building. The wage increase is mandated by the Services Act which the Department of Labor administers on our contracts. The facilities management service contract includes positions such as electricians, carpenters, laborers, janitors, security guards and mail clerks.

A $50,000 increase for TFHRS alterations will be used for routine maintenance repairs and projects to enhance the operations at TFHCS. Some of these projects are to modify the boiler room in the Annex Building, install a central monitoring control station for heating and air conditioning, raise and lengthen the loading dock, and install exterior lighting for security reasons.

A $15,000 increase for Headquarters alterations will be used in a continuing effort to realign space and to reduce our space in accordance with GSA Temporary Regulation D-71, Work Space Management Reform.

Data Systems (Incl. TCC) +621

The increase in the FY 1987 estimate in object class 2500 of $621 over FY 1986 is attributed to the following:

- o anticipated increase in contractor systems analysis and programming support required to maintain and develop computer systems for FHWA program offices.
- o implementation of office automation via the Department of Transportation Office Network System (TONS) throughout FHWA Headquarters offices.
- o anticipated services required to support nationwide automated systems in FHWA. These services include such areas as data telecommunications and data base support.
- o the installation of local area networks both in Headquarters and field offices.
- o increased usage to the Transportation Computer Center attributed to anticipated implementation of database systems.

Equipment +585

This amount reflects an increase from $744 in FY 1986 to $1,329 for FY 1987. This increase will permit the purchase of equipment that was deferred during FY 1986 due to restricted resources.

Contract Programs:

Research and Development, Highways +2,756

This reflects an increase from $12,244 in F.Y. 1986 to $15,000 in F.Y. 1987.

Highway Safety, R&D -1,734

Represents a decrease from $8,734 in FY 1986 to $7,000 for FY 1987.

[illegible]

Skill Training [illegible]

This reflects a decrease from [illegible]

Minority Business [illegible]

This amount reflects an increase from [illegible]

[illegible] Training Program [illegible]

Represents a decrease from [illegible]

National Accident Sampling System [illegible]

This reflects a decrease from [illegible]

[illegible] [illegible]

Reflects an increase from [illegible]

Rural Transportation Assistance Program [illegible]

Represents an increase from [illegible]

[illegible] Highway Studies [illegible]

This program was established by the House [illegible]

[illegible] [illegible]

This program was established by the House [illegible]

Subtotal, Program Changes [illegible]

Total Requested Increase [illegible]

February 18, 1988

DEMONSTRATION PROJECTS PROGRAM

Category	Project Title	(In Thousands of Dollars) FY 1988	FY 1989	FY 1990	FY 1991
I	Highway Safety and Traffic Control	$ 866	$ 990	$ 282	$ 505
II	Energy Conservation and Environmental Protection	72	124	28	175
III	Engineering and Construction	1,830	1,471	871	1,855
IV	Experimental Projects	532	406	489	403
	TOTAL	$ 3,299	$ 2,991	$ 1,670	$ 2,938

Fiscal Year 1987 Program Demonstration Projects Program

Major Program Objective Technology Transfer

Project Title

Highway Safety & Traffic Control

Funding Levels

FY	Oblig. ($000's)
1985	775
1986	[illegible]
1987	505
Future	545

Purpose Thousands of lives are lost each year due to accidents on the Nation's highways and property damage amounts to millions of dollars. It has been estimated that one-third of all highway accidents are attributable to the highway or its environment. Older highway designs and existing construction features which are found to be hazardous need to be repaired, upgraded, or replaced, while maintaining effective traffic control through the work area. Improper maintenance of safety features and lack of preplanned emergency traffic control plans have also been determined to be a cause of unnecessarily severe accidents or poor traffic control handling during incidents. New highway design methods, construction techniques, and traffic handling procedures which offer added safety and less disruption to traffic flow are available; however, highway agencies lack adequate resources needed to identify the most promising concepts and to translate these new technologies for the adoption and practical application at local levels.

Objectives and General Approach The objective is to identify, translate into a usable form for practical application, and promote for rapid adoption the most promising and proven safety and traffic control related technologies for use in highway maintenance, design, construction, maintenance, and operation. The general approach is to demonstrate, by actual example, the use of these new technologies in requesting States. These demonstrations range from on-the-job, "hands-on" demonstration of equipment and techniques, to conducting seminar type workshop training sessions, to providing the necessary technical expertise and assistance for incorporating these new technologies into State administered projects. All demonstrations are conducted in the State of the requesting agency to assure maximum exposure and training for agency personnel. States are encouraged to invite local highway agencies to these demonstrations so that maximum technology transfer can be achieved.

Project Elements Planned for FY 1987

	Amount ($000's)
Roadway Delineation	$ 75
Roadway Maintenance	150
Barrier Systems	150
Railroad Crossing Protection	10
Traffic Control	100
New Concept Development	20
Total	$ 505

Results

States will become more aware of what new safety and traffic control related technologies are available and after having witnessed first hand the actual demonstrations of these technologies will more readily adopt them for use. The adoption of these technologies will have a most positive effect on reducing the number and severity of traffic accidents while monitoring traffic flow and, in turn, will have a direct influence on reducing highway fatalities, costly property damage, and time delays to the motoring public.

Accomplishments FY 85-86 to Date Presentations and demonstrations continued on projects dealing with new traffic barrier systems and a new pavement marking material (ETP) developed by FHWA. Demonstration installations of both projects continue to be constructed and evaluated.

A most popular project which demonstrated proper maintenance procedures for the repair of highway safety appurtenances was closed out after having been presented over 100 times to over 4,000 highway personnel. The entire presentation was documented on video tape (5 separate modules) and distributed to all States for their use in the continual training of highway maintenance personnel.

A demonstrating project on Railroad Grade Crossing Corridor Improvements was announced and is receiving heavy responses for presentations.

Work continues in the development of a project which demonstrates the latest equipment and techniques for freeway incident management control.

Development work will commence on a new project that demonstrates proper traffic control handling techniques through construction zones.

Accomplishments Planned for FY 1987 and Future

Projects promoting the use of a new pavement marking material (ETP), new traffic barriers, and railroad grade crossing corridor improvements are planned to continue.

Two new projects will be announced. One promoting the use of polymers in highway and bridge construction projects and the other on the use of proper traffic control handling techniques through construction zones.

New technologies applicable to improving highway safety will continue to be explored and identified for possible inclusion in the program.

Fiscal Year 1987 Program Demonstration Projects Program

Project Title

Energy Conservation and Environmental Protection

Funding Levels	
FY	Dollars ($000's)
1985	124
1986	20
1987	175
Future	275

Purpose Our country is still heavily dependent upon foreign oil. Such dependency creates a threat to our overall economy and national security. Because the transportation sector--particularly highways--is a major user of petroleum-derived energy, it is paramount that the design, construction, and operation of our highway systems are the most energy efficient. Consistent with this strategy is the fact that FHWA and all State highway agencies are required to plan, design, construct, and operate highways so as to assure compatibility with the environment.

Many new technologies are available to assure that our highways are both energy efficient and environmentally sound; however, highway agencies lack the adequate resources needed to identify the most promising ones and to translate them into a usable form for practical application.

Objectives and General Approach The objective is to identify, translate into a usable form for practical application and promote for rapid adoption, the most promising and proven technologies available to assure that our highway systems are designed, built, and maintained as energy efficient and environmentally sound. The general approach is to demonstrate, by actual example, the use of these new technologies to requesting States. These demonstrations range from on-the-job, "hands-on" demonstrations of equipment and techniques, to conducting seminar type workshop training sessions, to providing the necessary technical expertise and assistance for incorporating new technologies into State administered projects. All demonstrations are conducted in the State of the requesting agency to assure maximum exposure and training for agency personnel. States are encouraged to invite local highway agencies to these demonstrations so that maximum technology transfer can be achieved.

Project Elements Planned for FY 1987	Amount ($000's)
Energy Efficient Construction Techniques	$ 100
Environmental Enhancement Engineering	65
New Concept Development	10
Total	$ 175

Form FHWA 981 (7-73)

Major Program Objective Technology Transfer

Benefits States will be introduced to the new technologies that are available to assure that our highway system are more energy efficient and environmentally sound and after having witnessed, first hand, the actual demonstration of their use will more readily adopt them for use. Adoption of new technologies in the area of recycled and/or substitute materials will lessen overall costs of construction, reduce energy requirements, and assist in the preservation of natural resources. Improved traffic flow in urban areas, in addition to saving time for all highway users, has potential to save up to several million gallons of gasoline per day if implemented on a national basis. Consideration given during the design and construction phases will provide for the preservation and enhancement of the environment surrounding highway facilities.

Accomplishments FY 85-86 to Date The project which demonstrated the use of microcomputers in solving traffic engineering problems was completed and demobilized. This was a most popular project with over 50 presentations to some 1200 persons and has resulted in substantially moving this new technology into practice.

The recycling of portland cement concrete pavements continues to draw attention by the user States. New benefits from the use of this technology continue to develop and are being shared with other States. It is fast becoming a new tool for States to consider using in the rehabilitation of pavements that have lost their structural carrying capacity. Savings of up to $20,000 per lane miles have been achieved where this technology has been used.

The program continues to make available technical assistance and equipment to States in the environmental monitoring of noise, air, and water pollution.

Investigative work continues in the area of using herbicides in highway roadside maintenance.

The development and research into calcium magnesium acetate (CMA)--a salt substitute--continues to be closely followed. A project demonstrating the use of this material, once developed, is planned.

Accomplishments Planned for FY 1987 and Future

There still remains a need to further promote the use and acceptance of portland cement concrete recycling--this project will be continued into FY 87.

The development of CMA and herbicidal management should have progressed to the point where pilot demonstrations of these technologies are needed. Such pilot efforts are needed to refine the project prior to full scale demonstrations.

Technical assistance and equipment loan of environmental monitoring equipment will continue to be offered to States who are desirous of enhancing their environmental expertise.

New technologies applicable to making the design, construction, and operation of our highways more energy efficient while at the same time preserving and enhancing the environment will continue to be explored and identified for possible inclusion into the program.

Fiscal Year 1987 Program Demonstration Projects Program

Project Title

Engineering and Construction

Funding Levels

FY	Oblig ($000's)
1985	1,975
1986	875
1987	1,655
Future	1,780

Problem

Newer, and more innovative cost effective technologies for designing, constructing, and maintaining highway systems continue to emerge from research conducted at all levels of the highway industry--both public and private. However, highway agencies lack the adequate resources needed to identify the most promising ones and to translate this research into a usable form for practical application. With highway costs continuing to mount, the need to transfer these new technologies to State highway agencies for their rapid adoption is paramount.

Objectives and General Approach

The objective is to identify, translate into a usable form for practical application and promote for rapid adoption, the most promising and proven technologies available to assure that the design, construction, and maintenance of our highways are most cost-effective. The general approach is to demonstrate, by actual example, the use of these new technologies to requesting States. The demonstrations range from on-the-job, "hands-on" demonstration of equipment and techniques to conducting seminar-type workshop training sessions to providing the necessary technical expertise and assistance for incorporating these new technologies into State administered contracts. All demonstrations are conducted in the State of the requesting agency to assure maximum exposure and training of agency personnel. States are encouraged to invite local highway acencies to these demonstrations so that maximum technology transfer can be achieved.

Project Elements Planned for FY 1987	Amount ($000's)
Highway Design Techniques	$ 200
Highway Construction Techniques	275
Highway Rehabilitation Techniques	525
Highway Maintenance Techniques	25
New Materials	65
Pavement Management	250
Highway Structures	130
Engineering Management	80
Material Testing Procedures	85
New Concept Development	20
Total	$ 1,655

Major Program Objective Technology Transfer

Benefits

States will be introduced to the newer cost-effective technologies available and after having witnessed first-hand the actual demonstration of these technologies will more readily adopt them for use. Through the widespread adoption of these new technologies, substantial savings in both time and cost will be directly realized by State highway agencies and, indirectly, by all motorists/taxpayers. In addition, new concepts continue to pay dividends for years following their adoption; they can have a major impact in reducing future budget needs of the adopting States and in reducing user costs to the motorists.

Accomplishments FY 85-86 to Date

New projects were announced that demonstrated the use of microcomputers for construction management, cathodic protection for bridge substructures, hydraulic drainage design techniques, automated pavement condition data gathering equipment, bridge management systems, and weigh-in motion equipment. Productivity improvements and elimination of costly labor intensive efforts through the use of these demonstrated technologies continue to be achieved.

Development and mobilization work was begun on new projects that will demonstrate new computer aided design technologies, portland cement concrete overlays, concrete superplasticizers, bridge inspection techniques, and construction of quality asphalt mixes.

Regional seminars were conducted on several of the newer technologies included in the program--cathodic protection of bridge decks, use of fly ash as a construction material, and the rehabilitation of both concrete and asphalt roadways.

Numerious technical documents and reports on many of the projects were prepared and given national distribution.

Substantial savings in the millions of dollars have been realized by States that have adopted technologies promoted under demonstration projects on driven pile foundations and permanent ground anchors.

Accomplishments Planned for FY 1987 and Future

Most of the projects active in FY 86 will be continued with major emphasis being placed on highway structures--both managment and inspection areas. A new project on demonstrating how to improve the quality of asphalt mixes will be announced in the latter part of FY 86 and is expected to be of extreme interest to the States.

A new project which will demonstrate the viability of thin bonded concrete overlays is expected to provide the States with yet another solution to the rehabilitation of concrete pavements.

New technologies which would be applicable under this category and which serve to provide more cost-effective methods of designing and constructing highways will continue to be explored and identified for possible inclusion into this program.

Form FHWA 707 (7-75)

Fiscal Year 1987 Program Demonstration Projects Program

Project Title

Experimental Features

Funding Levels	
FY	Oblig. ($000's)
1985	496
1986	335
1987	635
Future	700

Problem The construction industry has always been recognized as an industry with tough, aggressive competition. In order to obtain a competitive advantage or to capture a larger percentage of the market, material suppliers, equipment manufacturers, and contractors invest significant resources in research and development of new and better products, equipment, and/or construction techniques. In addition, Federal and State highway agencies (SHA's) finance research and development programs aimed at solving current and future problems. The combination of these efforts present highway agencies with a major problem of sifting through large quantities of data to determine which new technologies work. In order to identify for use the most promising new technologies, the SHA's need factual information on the performance and cost effectiveness of these technologies. The absence of good evaluation data was highlighted in a GAO report to Congress on extending the service life of bridge decks. This report cited FHWA as not having a long-term monitoring/evaluation program.

Objectives and General Approach The objective is to function as a technology transfer medium and encourage highway agencies to experimentally incorporate and evaluate promising new materials, equipment, and techniques in their construction program. SHA's are encourage to use and evaluate promising new technologies with little or no performance record. Assistance is provided in developing and funding evaluation plans that will provide valid performance data. Performance data from the various installations is collected, analyzed, summarized, and disseminated on a national basis. It is important to note that meaningful, statistically valid performance data can only be obtained through years of thorough evaluations. Some technologies may need up to five or more years of careful and thorough observation to be deemed acceptable for use.

Project Elements Planned for FY 1987	Amount ($000's)
Pavements	$ 115
Structures	90
Environment	5
Traffic Operations	20
Materials and Testing	40
Geotechnical Engineering	40
Safety	95
Regional Programs	20
New Concept Development	10
Total	$ 635

Form FHWA 707 (7-75)

Major Program Objective Technology Transfer

Benefits This effort assists highway agencies in identifying the most efficient, cost-effective, and viable technologies of the many that are continually emerging from the research and development efforts of both the public and private sectors. Access to such timely and quantifiable performance data assist highway agencies in more rapidly upgrading their highway engineering capabilities. Availability of such data also helps to eliminate duplication of experimental efforts by other highway agencies and identifies those agencies with the practical experience to call upon for assistance.

Accomplishments FY 85-86 to Date Evaluation of projects using thin bonded concrete overlays, asphalt additives, various types of new pavement rehabilitation techniques, joint sealants materials, modular concrete bridge decks, bridge deck protective systems, protective coatings for structural steel, bridge deck expansion joint materials, ground modification systems, safety appurtenances, pavement marking materials, and rapid test procedures were continued. Interim reports, including the latest collected performance data on bridge deck protective systems, thin bonded concrete overlays, asphalt additives, protection coating for structural steel, bridge deck expansion joints, highway safety appurtenances, and pavement marking materials were written and distributed. The availability of funding for the evaluation of new projects on new concepts in pavement design techniques and flexible pavement crack sealing materials was announced. Guide evaluation plans for these new projects were developed and distributed to the SHA's. The National Experimental Projects Tabulation, placed on line in the Transportation Computer Center during FY 83-84, was updated and the information made directly accessible by the State highway agencies.

Accomplishments Planned for FY 1987 and Future Efforts will continue to identify and evaluate promising new technology in the areas of pavement and bridge rehabilitation. Evaluations currently underway on bridge deck protective systems, protective coatings for structural steel, asphalt additives, thin bonded concrete overlays, joint sealant materials, modular concrete bridge decks, pavement rehabilitation techniques, flexible pavement cracking sealing materials, and new concepts in pavement design will be continued. In addition, efforts to identify and evaluate promising new technologies in the areas of highway safety, environment, traffic operations, and materials will continue. Evaluations underway on ground modification systems, rapid test procedures, absorptive noise barriers, and safety appurtenances will continue to identify cost-effective methods to conserve energy, protect the environment, reduce construction costs, and enhance highway safety. Comprehensive reports on these subjects will continue to be developed and distributed nationally as new performance data is received. New projects on traffic signal dimming and improved methods of roadway delineation will be developed.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES
CONTRACT AND OTHER NO-YEAR PROGRAMS

The following compares F.Y. 1987 levels for Contract and Other No-year programs with previous years.

($ in thousands)

	F.Y. 1985 Approp.	Revised F.Y. 1986 Approp.	F.Y. 1987 Estimate
Research and Development, Highways	$12,355	$12,244	$15,000
Highway Safety Research and Development	7,243	8,134	7,000
Skill Training	4,260	4,294	2,500
Minority Business Enterprise	8,521	8,588	10,000
Demonstration Bonding Program	5,000	...	...
Virginia Highway Study	...	300	...
Sante Fe Study	...	500	...
Rural Transportation Assistance Prog.	4,260	4,251	4,838
Interjurisdictional Trucking Program	767	853	500
Commodity Flow	724	50	850
National Accident Sampling System	554	400	350
TOTAL Appropriation	$43,684	$39,614	$41,038

FY 1987 CONTRACTS PROGRAM
RESEARCH. DEVELOPMENT, AND TECHNOLOGY

The Federal Highway Administration (FHWA) plays the major role in both the discovery of solutions to highway problems and transfer of technology from the researcher to the local highway authority. Contract research is performed by private research firms, universities, non-profit organizations, individual consultants, small business minority enterprises, women-owned businesses, other non-FHWA Federal laboratories and State highway agencies. Work is contracted under Federal Acquisition Regulations and all applicable laws, executive orders, and legislative mandates. Federal highway legislation has placed strong emphasis on application and enhancement of new technology for the Nation's highway system.

Need for Highway Research, Development, and Technology Transfer

The Nation's highway investment (Federal, State, and local) is $54 billion per year. The research portion of this investment is miniscule; on the Federal level, we have $21 million per year for our research, development, and technology transfer program, yet the results are applicable nationally. A comparison made after including Federal-State matching capital funds and Federal-State cooperative research and development (R&D) shows the investment does not ensure a proper rate of flow of improved technology into the capital programs to obtain maximum benefits in the cost effectiveness, safety, and traffic capacity efficiency of the program. Our 1987 budget now before Congress is the same level in nominal dollars as that of 1978.

The national highway program, Federal, State, and local, has been revitalized over the last few years with the much needed increase in revenues. In addition, the program has gone through a major shift from new highway construction to meeting the rapidly growing demand for rehabilitation and preservation of the Nation's 4 million mile highway system. Because of the diminished level of budgeted R&D funds, many areas of our changing technology have not been adequately addressed to use in rehabilitating our highway system. The needs have been identified, but an expanded research program is needed to stimulate technological innovations and advances on a more timely basis.

FHWA Research, Development, and Technology Responsibilities

The FHWA is responsible for the management of the national research effort included under the Federally Coordinated Program (FCP) of Highway Research, Development, and Technology. The FCP was formulated to effectively manage and administer efforts to seek and implement new technologies needed in the highway industry. The main features of the FCP include:

- Coordination of Federal, State, and other research activities to solve problems without any unnecessary duplication of effort.
- Concentration of most of our available resources on 10 of the 27 most critical problem areas.

- o Implementation of the most promising R&D results by field evaluation, demonstration, repackaging for the practitioner, and training in new technologies.

- o Providing leadership in new technologies by maintaining new initiatives in long-range research as a viable component of an overall applied research program.

The FCP is an organized framework of the major concerns facing the highway agencies at Federal, State, and local levels, plus necessary supporting functions. Within these concerns, 27 specific major projects have been identified which address the most urgent problems; 17 of these problem areas receive minimal funding. For each of these projects, a project manager on our staff manages the studies in the project, which are financed from our contract funds or staff research funds, and promotes and coordinates the studies being conducted by individual States or pooled funds arrangements using Federal-aid money under provisions of Section 307(c) of Title 23, U.S.C. Findings have been delayed and incremental changes have been all that we can apply.
incremental changes have been all that we can apply.

Resource Levels

Funds are allocated under Sections 307(a) and 403 of Title 23,U.S.C., for the general support of research functions, including maintenance of national and international research data bases by the Transportation Research Board and the International Road Federation, and the exploratory work on new technologies. Funds are also allocated under Sections 307(a) and 403 to provide support services for staff research programs at the Turner-Fairbank Highway Research Center, to make new laboratories operational, and to keep existing laboratories adequately staffed and supported. In all, there are 15 laboratories to provide support to the major areas of research. Many of these laboratories are unique in their capabilities or include specially designed and developed instrumentation for research on highway problems. These laboratories greatly enhance the potential scope and quality of the FHWA in-house research program.

The funding requested for FY 1987 for R&D Management and Support will be used to fully support our staff research program and to ensure the laboratories will be completely operational to support the developing Strategic Highway Research Program. Support staff are needed in the laboratories to make specimens and take measurements. The support staff also allows FHWA to fully use available laboratories and permit more effective use of FHWA professional staff.

Strategic Highway Research Program

The presently developing Strategic Highway Research Program (SHRP) will provide a significant boost to the national highway research effort by addressing six of the most critical cost impact problems in pavement construction, reconstruction and maintenance; snow and ice control; and rehabilitation of bridges due to corrosion brought on by use of deicing chemicals. These identified critical areas address in part the national R&D shortfall by investing, as proposed, 1/4 percent of the yearly apportionments from the Highway Trust Fund.

If approved, the SHRP will provide about $30 million per year for 5 years for these sharply focused objectives. However, the areas included in the program constitute only 10 percent of the full range of the highway areas in critical need of study. The SHRP will provide no funds at all for research to address the problems of highway design and operation for greater safety or the development of techniques for relief of the growing traffic congestion in our urbanized areas. In fact research funds have been so curtailed in recent years, in fiscal year 1985, less than $750,000 was available to begin new research in the area of traffic operations.

FHWA/SHRP Coordination and Integration

The R&D Highways Program contains funding only for SHRP-related activities which are complementary and, thus, are not duplicative of the research planned under the SHRP. These studies are in the areas of highway operations, pavements, and structures. All new research related to the SHRP in chemical deicers, and cement and concrete has been deleted from the FY 1986 budget request. Accordingly, the program as submitted, contains funding of $300,000 in the highway operations area, only $1,050,000 in the pavements area, and $350,000 in the structures area for research which is related to the SHRP.

To ensure the timely commencement of SHRP, the FHWA has spent FY 1985 funds and plans to spend FY 1986 funds on SHRP related activities to aid in the development of the program; the total amount for the 2 fiscal years is $3,020,000. These activities include:

- o Developing an experimental design for the long-term pavement performance study area of SHRP.
- o Developing of procedures for obtaining accurate and uniform pavement data.

In addition, the pavements area contains many elements which will provide insight and support to SHRP-related activities.

The development of the SHRP gave consideration to all past work in the six critical areas by the FHWA and the States and was guided by advisory groups set up in each area. Each advisory group consisted of approximately 30 individuals, one-half of which were drawn from the State highway agencies and the other half from other public agencies, the private sector, and academia. The FHWA was represented on each advisory group.

The States are in strong support of the proposed SHRP, based on a their experience that a dollar invested in research now will generate cost avoidance from five to ten times that amount in years to come. The SHRP will provide the chance to address some of the major problems associated with the deterioration of our highway system.

Other Research Needs

Although the Research and Development program has been very active in recent years, the following key areas have been identified where additional funds, if available, would make a substantial contribution to improving the highway system:

- Bridge damage due to structural fatigue, brittle fracture and improper installation of high strength bolts.
- Effective pavement design for eliminating the bumps at bridge approaches and detecting voids under pavements being rehabilitated.
- Information systems to reduce urban traffic congestion.
- Methods of identification and treatment/removal of hazardous materials dumps at highway construction sites.
- Pedestrian accidents and the increasing population of older drivers.
- Increased technical assistance to urban planners.

Although these areas represent significant problems that should be addressed, they are being deferred at this time due to the higher priority of the issues addressed in the following documents.

Summary

As America's transportation demands change, an effective highway research program continues to be a major priority of the FHWA. Our aggressive R&D programs help bring new technologies on line to ensure that America's highways are safe and efficient for all who use them. A comprehensive program of highway research also helps assure that our Nation's transportation tax dollars are spent wisely and effectively. The substantially increased FY 1987 budget will speed up high payoff areas and bring major highway improvements from new technology to the implementation stage 1 to 2 years earlier than originally planned.

FHWA FY 87 Program Objectives Receiving Emphasis from the Increased Budget

Research and Development, Highways

Planning - Existing methodology for strategic planning is outdated and must be upgraded: new truck size and weight impact analysis required.

FY 87 - $200,000

Traffic Operations - Address the urban congestion problem through techniques such as communication, traffic rerouting and motorists information.

FY 87 - $775,000

Highway Operations - Maximize operational efficiency and develop techniques to identify hazardous materials dumps at highway construction sites and methods for treatment or removal.

FY 87 - $200,000

Pavements - Improve performance throughout an expanded life cycle through new additives, quality control specifications, special pavement designs for problem situations, and long term pavement evaluation program.

FY 87 - $800,000

Structures - Address the overwhelming number of deteriorating bridges through simple and effective detection and rehabilitation techniques for brittle fracture, fatigue, corrosion, and foundtion damage.

FY 87 - $1,000,000

Highway Safety Research and Development

Safety - Investigate the human factors and habits of drivers with emphasis on the older driver as they react to roadway situations presented in the highway simulator; special evaluation and standards development for roadside hardware; and reduce pedestrian fatalities.

FY 87 - $250,000

Continuing Activities

Research and development is ongoing in many specific problem areas to assure the development and deployment of the best possible technology for planning, designing, constructing, operating, and maintaining the safety of the Nation's highway system. The program emphasizes the implementation of the most promising results through a unique highway technology transfer program.

FY 87 - $18,775,000

RESEARCH AND DEVELOPMENT, HIGHWAYS (23 U.S.C. 307)

Federal highway legislation has placed strong emphasis on application and enhancement of new technology for the Nation's highway system. The Federal Highway Administration (FHWA) plays the major role in both the discovery of solutions to highway problems and technology transfer from the researcher to the State highway authority.

The following grouping of program areas represents a program designed to take advantage of technological advances of the 1980's.

"Planning" supports the planning process and the development of FHWA policy. This includes analysis of factors affecting the demand for highway passenger and freight transportation, evaluation of effectiveness of existing programs, analysis of ways to improve the productivity of highway transportation, evaluating the effects of improvements on the performance of the highway system and providing the latest in planning techniques and practices.

"Traffic Operations" RD&T is concerned with increasing the operational efficiency of existing highways by advancing technology and balancing the demand-capacity relationship through traffic management techniques such as bus and carpool preferential treatment, coordinated signal timing, motorist information systems, and rerouting of traffic.

"Highway Operations" RD&T addresses routine maintenance of the highway system, and enhancement of highway features to improve the quality of the environment. The goals of projects within this category are to maximize operational efficiency to the traveling public while conserving resources and reducing adverse highway impacts.

"Pavements" RD&T is concerned with pavement design and rehabilitation methods and procedures, construction technology, improved pavement binders, and improved pavement management. The goals emphasize improvements to highway performance over the network's life cycle thus extending maintenance-free operation and maximizing benefits. Specific areas of effort will include material characterizations, pavement damage predictions, methods to minimize local pavement defects, quality control specifications, long-term pavement monitoring, and life-cycle cost analyses. The program in this area is designed to complement SHRP activities.

"Structures" RD&T is concerned with the latest technological advances in structural and hydraulic designs, fabrication processes, and construction techniques to provide safe, efficient highway structures at reasonable costs. This category deals with bridge superstructures, foundations, culverts, river mechanics, and hydraulics. A major emphasis under this program is the rehabilitation of existing bridges. In addition, it includes material aspects of structures (metal and concrete) along with their protection from corrosive or degrading environments. The program in this area is designed to complement SHRP activities.

Research and Development, Highways

Projects	(In Thousands of Dollars) FY 1985	FY 1986	FY 1987
1. Planning	[illegible]	[illegible]	[illegible]
2. Traffic Operations	[illegible]	[illegible]	[illegible]
3. Highway Operations	[illegible]	[illegible]	[illegible]
4. Pavements	[illegible]	[illegible]	[illegible]
5. Structures	[illegible]	[illegible]	[illegible]
6. R&D Management and Coordination	[illegible]	[illegible]	[illegible]
7. Small Business Innovative Research Program	([illegible])*	([illegible])*	([illegible])*
Program Level	[illegible]	[illegible]	[illegible]
Less Unobligated Carryover	[illegible]	-	-
Requested Level	[illegible]	[illegible]	[illegible]

* This is a non-add item which represents a set percentage carried in the extramural research budgets provided above. (Reference Public Law 97-219.)

[illegible]

Fiscal Year 1987 Program Research and Development, Highway

Budget Item: HIGHWAY OPERATIONS

FY	Funding Level Amount ($000's)
[illegible]	[illegible]
85	[illegible]
86	[illegible]
87	[illegible]
Future	[illegible]

About $20 billion are spent annually for maintenance of our highway system.
. Innovative materials, techniques, testing methods, and management systems must be developed and adopted as standard practice to protect the Nation's large investment in its highway system, and continue service at the level to which our economy is geared while at the same time avoiding or minimizing environmental impacts.
. Conventional deicing chemicals are responsible for significant corrosion of highway structures and vehicles, and can degrade adjacent water supplies.

Mission and Needs Summary

Objectives
. To increase safety and efficiency of highway construction and maintenance, and reduce the environmental impacts.
. To promote the adoption of innovative and cost effective maintenance technology as common practice.

Approach
. Improved materials, equipment, test methods, specifications and management systems will be identified, and evaluated.
. Effective alternatives for mitigating the impacts of the construction, maintenance and operations of highways on the environment will be determined.
. Effective technology transfer mechanisms will be developed to accelerate the adoption of advanced technology.
. Long-range basic studies to develop non-destructive techniques to identify eminent pavement defects due to water and groundwater pollutants from highways.

Project Element Planned in FY 1987	Amount ($000's)
Research, Development, and Technology	7,150
Total	7,150

Major Program Benefits: Reduce Costs and Improve Present Practices

Goals:
. Increased maintenance effectiveness will provide substantial annual savings of funds, conserve resources, extend life of the highway system, increase safety, and improve traffic flow.
. By understanding highway pollutant sources, (air, water, and noise) transport mechanisms and effects, it is possible to identify impacts and provide cost effective mitigation.
. Development of a benign deicing chemical can significantly reduce corrosion of new highway pavements, structures and vehicles and eliminate degradation of water supplies adjacent to the highway.

Accomplishments in FY 1985 & 1986:
. Procedures to predict pollution highway runoff [illegible]
. Effects of Calcium Magnesium Acetate on autos, pavements, structures and environment
. Update and computerization of FHWA wetlands assessment methodology
. Design guidelines to mitigate hazardous highway spills (guides for noise walls deferred)
. Procedures to identify hydrologic effects of highways on wetlands
. Air quality models for complex site geometry
. Maintenance equipment management [illegible]

Accomplishments Planned in FY 1987 and Beyond:
o Development of procedures to improve cold wet weather pothole patching
o Develop program for workshops on cost effective bridge maintenance strategies
o Develop much needed guidelines for repairing open graded friction courses
o Comprehensive guidelines for assessing the effectiveness of noise walls for mitigating noise pollution
o Develop guidelines for using emulsion seal coats on high volume pavements

Fiscal Year 1987 Program Research and Development, Highways

Project Title PAVEMENTS

Funding Levels	
FY	Oblig. ($000's)
Prior	17,306
1985	1,484
1986	3,110
1987	3,290
Future	7,704

Problem

Many highway pavements are deteriorating at a rate faster than designed or anticipated. This deterioration is due to effects of heavier truck traffic, changing material properties, inadequate specifications and mix design, construction methods, and quality control procedures. Disruption in the world oil market made clear the dependence on foreign supplies and the need for technology to provide alternatives to asphalt and to optimize the performance of binders.

The emphasis has shifted from new construction to rehabilitation of existing pavements.

Objectives and General Approach

Objectives

- Minimize costs of providing and preserving pavements through improved design, construction, materials, specifications, and rehabilitation.
- Improve Pavement Management Systems and develop faster, more efficient quality control test procedures based on performance.

Approach

- Conduct field evaluation of inservice pavements to provide performance history and indicate economic alternatives.
- Identify and evaluate innovative materials, equipment, specifications, and management systems.
- Establish a pavement testing facility to perform accelerated axle load test on full-scale pavements to obtain reliable predictions of performance under specific environmental conditions.

Project Elements Planned for FY	Amount ($000's)
Research, Development, and Technology	3,700
Total	3,700

Major Program Objective Reduce Total Cost and Increase Design Life

Benefits

- Improved materials, design, and construction practices will result in annual cost savings of $4 million in maintenance of bituminous highways.
- Savings of up to 30 percent by selection of optimum pavement design and rehabilitation strategies through the use of investment analysis and Pavement Management Systems.
- Synthetic bitumens, capable of replacing asphalt in quality pavements.
- Asphalt additives to enhance the performance of asphalt highway pavements and allow use of marginal material.
- Savings in quality assurance testing during construction.

Accomplishments FY 85-86 and Prior

- Although methodology for pavement-type selections was developed, budget cuts necessitated dropping development of optimization techniques for selecting maintenance and rehabilitation projects.
- Recommendations were developed for patching the roadway under heavy traffic, for preparing guidelines for pressure relief joints, and for evaluating other new overlay/rehabilitation technology.
- The mathematical modeling tools necessary for determining dynamic forces on pavement were developed, however, the major effort to determine the effects of new axle configurations and combined environmental influences was deferred because of lack of funds. This delays the implementation of weigh-in-motion (WIM) systems for monitoring truck loads for enforcement.

Accomplishments Planned for FY 1987 and Future

- Evaluating pavements by accelerated loadings through the use of the Accelerated Loading Facility (ALF) at TFHRC.
- Completion of pilot study to identify potential lab tests that better related asphalt mixture properties to pavement performance.
- Evaluating the dynamics of tire suspension systems to reduce pavement distress while increasing payloads.
- Evaluate prototype systems for adding antistrip materials to asphaltic concrete mixtures.

Fiscal Year 1987 Program **Research and Development, Highways**

Project Title

STRUCTURES

FY	Oblig. ($000)
Prior	25,000
85	1,166
86	3,075
87	3,875
Future	10,000

Problem

. Deterioration of bridges caused by the environment and the corrosive action of deicing salt require major maintenance or reconstruction.
. Conservative bridge designs have resulted from engineering concerns about unknown foundation conditions.
Inaccurate flood forecasting results in inadequately sized or overly conservative waterway openings.
. Inaccurate forecasts of truck traffic and weights cause shorter than design bridge life.
. Slow implementation of research results cause continuation of overly conservative and costly design, construction, and maintenance practices.
. Design and construction procedures for ground improvement techniques are not well defined, resulting in excessive construction costs.

Objectives and General Approach

Objectives:

. Minimize the cost of building and preserving highway structures through improved design, construction, rehabilitation, and management techniques.
. Designs for highway structures which will not fail due to extreme forces of nature or cumulative heavy vehicle loadings.

Approach:

. Seek improved bridge rehabilitation techniques.
. Evaluate and assimilate new commercial and industrial product improvements.
. Develop new design criteria, management concepts, and construction techniques.
. Conduct long range research using analytical, laboratory, or full-scale field studies.

Project Elements Planned for FY 1987	Amount ($000's)
Research, Development and Technology	3,875
Total	3,875

Major Program Objective Reduce Costs and Extend Design Life

Benefits

. Improved technology for the rehabilitation or replacement of over 200,000 deficient U.S. bridges can reduce costs up to 20 percent.
. Better design, inspection, and repair techniques can extend the service life of highway bridges up to 20 percent.
. New design and retrofit techniques can reduce future damage to highways and bridges from earthquakes, floods, and wind.
. Annual savings in excess of $100 million in the cost of construction of bridge foundations and earth fills.
. Savings of $100 million by using new methods to control corrosion.

Accomplishment FY 85-86 to Date

. Wind tunnel calibrations of turbulent wind effects on cable-stayed bridges.
. Evaluation of the "Bridge Formula" in truck weight enforcement.
. Criteria for designing lightweight concrete bridges.
. Guidelines for the foundation design to resist earthquake motion.
. Guidelines for the design of dikes and spur dikes for erosion control.
. Improved design methods for reinforced soil structures.
. Technique for in-situ nondestructive testing of bridge decks to determine the moisture content.
. Field test method for checking the application of inorganic zinc-rich paint coatings.
. Techniques for evaluation of paint systems for use on rusty steel.
. Procedure for monitoring bridge pier scouring.
. Implement dynamic compaction method for ground improvement.

Accomplishment Planned for FY 87 and Future

. Increase bridge life through studies on fatigue resistant design, and future vehicular loads.
. Increase bridge safety and durability by improving inspection and nondestructive testing of bridges generally and of cables in particular.
. Reduce deterioration of bridges and decks with studies on painting of corroded weathering steel and use of conductive polymer overlays and long lasting anodes for cathodic protection (CP) and rehab of salt-contaminated decks without CP.
. Develop better design guidelines for pile foundations.
. Improved estimates and measurement of scour by better instrumentation.

Research and Development, Highways

R&D Management Support and Coordination
(In Thousands of Dollars)

Obligations Through FY 1985	Contract Obligations FY 1986	Requirements FY 1987
$1,000-2,350 per year	2,147	2,700

Objective:

Provide support to the Transportation Research Board and the National Academy of Sciences for their role in advisory committees, providing research correlation services, defining research areas and aiding in the dissemination of information. The International Road Federation is supported in its activity in inventorying scientific and engineering research and development work related to highway transportation in progress in 59 countries. Funding is also drawn from the Highway Safety Program support budget.

Provide support to the expanded Turner-Fairbank Highway Research Center for operation of the laboratory facilities that gives the FHWA a unique base to explore and develop new technology to address the major concerns facing the highway program. Some of the laboratory capabilities include determining bridge loading and strengthening and rehabilitation enhancements, effect of streambed obstructions on bridge piers and abutments, strength of material components when integrated into a pavement section, an electronics support function for research instrumentation development, the suitability of pavement mix design to withstand environmental changes and a pavement testing facility to simulate in a few weeks the years of pavement damage that occurs from heavy loadings. An increase in funding for FY 1987 has been requested to provide full support for our staff research program and to ensure laboratories in support of the SHRP are fully operational.

Examine options provided by new technology and developments applicable to the future highway system in such fields as materials science, applied mechanics, operations research, and solid state physics. Studies included here also seek to anticipate transportation changes before they become major operational or economic problems. Efforts include feasibility studies, seed money for new targets of opportunity, and exploratory initiatives to get answers to critical questions quickly.

HIGHWAY DESIGN AND OPERATION FOR SAFETY (23 U.S.C. 403)

"Safety" RD&T (funded under the FHWA portion of Section 403 of the Highway Safety Act) addresses the problems of designing, constructing and improving the highway network to increase the safety of operation. It includes investigation of appropriate design standards, roadside hardware, traffic control devices, human factors in driver-roadway interaction, and the analysis of physical and scientific data for the formulation of improved safety regulations to better protect the public. A new emphasis in FY 87 will be on engineering improvements for pedestrian safety and driver night visual detection and recognition of signs, signals, and markings. Emphasis will be on the older driver.

Highway Safety Research and Development

Projects	(In Thousands of Dollars) FY 1985	FY 1986	FY 1987
1. Improved Highway Safety	5,505	5,742	5,000
2. Highway Safety Support and Coordination	1,495	2,392	2,000
3. Small Business Innovative Research Program	(91)*	(102)*	(87.5)*
4. Funds Transfers to NHTSA	1,500	-	-
Budget Authority	8,500	8,134**	7,000

* This is a non-add item which represents a set percentage carried in the extramural research budgets provided above. (Reference Public Law 97-219.)

** Reflect P.L. 99-177 reduction of 4.3 percent.

Fiscal Year 1987 Program Research and Development, Highways

Project Title

SAFETY

Funding Levels

FY	Oblig. ($000)
Prior	56,500
85	5,505
86	5,742
87	5,000
Future	[illegible]

Problem

Highways are necessary for the American way of life. But the good associated with highways is marred by the death and destruction caused by highway accidents. Each year, thousands of people are killed and millions are injured in highway accidents. In addition highway accidents result in over $50 billion in economic loss each year. The problem has been compounded over the last decade by an increase in the number of older drivers, downsizing of passenger cars, and the increase in commercial vehicle size and weight. Problems with night driving, surface roughness, and poor traffic control devices contribute to accidents. In all cases the causes of the problem must be understood in order that appropriate solutions can be designed and field tested. Safety needs far outpace the limited resources available to collect required data and conduct tests on new developments. Cost-effective improvements must therefore be based on proven procedures for making decisions.

Objectives and General Approach

Objectives

. Resolve the most important causes of traffic accidents in the areas of design standards, traffic control devices, roadway lighting, and pavement surface characteristics.

. Determine the safety impact of and evaluate potential countermeasures for safety problems created by older drivers with regard to traffic control devices and passenger car downsizing and increased truck size and weights.

. Develop hardware and traffic control devices compatible with the changing vehicle fleet and driver population.

Approach

. Identify problems through accident analysis of operational situations.

. Develop improvements through controlled studies in the lab, on test tracks, or with a driver simulator.

. Validate new hardware through simulation and crash testing.

Project Elements Planned for FY 1987	Amount ($000's)
Research, Development, and Technology	5,000
Total	5,000

Form FHWA 707 (7-73)

Major Program Objective Reduce Costs and Improve Present Practices

Benefits

The number of highway fatalities has declined since 1980 and is now 7,000 less. This reduction has been due in part to:

. More effective guardrails, bridge railings, median barriers, and other safety hardware.

. Safety guidelines for restoration, resurfacing, and rehabilitation (3R) projects and improved geometric design criteria.

. More effective signs, signals, and pavement markings.

ADDITIONAL BENEFITS

. Maintaining the serviceability of pavement surfaces will save an estimated $100 million per year through a reduction in skidding accidents.

. Improved facilities for pedestrians will reduce the number of pedestrian fatalities by 1,000.

Accomplishments FY 85, 86 to Date

. Training course on use of traffic conflicts in safety analysis.

. Guidelines for delineation or lighting of interchanges.

. Guidance information for safe traffic flow during rain and reduced visibility.

. Methods to increase driver compliance with traffic control devices.

. Criteria for setting speed limits.

. Three trial applications of improved highway information systems.

. Criteria for identifying hazardous curves and intersections for locations with insufficient accident data.

. Guidelines for increasing pedestrian safety at right turn on red intersections.

. Applied new statistical methods for assessing accident countermeasures.

. New guardrail end terminal.

. Safety controls for safe operation of long truck combinations developed.

. Self-restoring median barrier and bridge rail developed.

. Completed the application of breakaway utility poles in two States.

. Guidelines for appropriate superelevation rates for horizontal curves.

. Procedures for predicting truck speeds on steep upgrades.

. Completed design of automated crack measuring system.

Accomplishments Planned for FY 1987 and Future

o Improved bridge rail and traffic barrier connectors.

o Real-time safe speed advisory system criteria.

o Safety criteria for control devices, lighting systems, and work zone traffic operations.

o Safety of truck networks, wider trucks, and truck truck/tire interaction with pavements.

Highway Safety Program Support

(In Thousands of Dollars)

Obligations Through FY 1985	Contract Obligations FY 1986	Requirements FY 1987
$820-1,560 per year	2,392	2,000

Objective:

Provide continuing support to the Transportation Research Board and the National Academy of Sciences for their role in advisory committees, providing research correlation services, defining research areas and aiding in the dissemination of information. The International Road Federation is supported in its activity in inventorying scientific and engineering research and development work related to highway transportation in progress in 59 countries. Funding is also drawn from the R&D Highways Support budget.

Provide services for the expanded Turner-Fairbank Highway Research Center for operation of the laboratory facilities that gives FHWA a safety research capability to explore and develop new technology through a Federal Outdoor Impact Laboratory (FOIL) to provide information of the changing vehicle fleet capability to operate safely with existing or proposed highway roadside hardware features such as guardrail and sign supports, by performing basic studies on the effectiveness of traffic control legibility and comprehension, by electronic and computer services support to research specific fundamental aspects of chronic highway problems, and through a driving simulator to allow safe and highly controlled testing of driver reactions to proposed modifications to the highway control systems.

Explore new technologies for their potential application to highway safety and to conduct pilot and feasibility studies on new technologies to determine if future commitment of funds in new areas would be cost effecftive. Studies included here will seek to expand the technology available and look ahead to anticipate transportation changes before they become major safety problems.

Total. $2,000

Fiscal Year 81 Program

Program Title

HIGHWAY SKILL TRAINING AND
SUPPORTIVE SERVICES

Funding Level: FY	Oblig. ($000's)
[illegible]	[illegible]
81	[illegible]
80	[illegible]
79	[illegible]

Problem

- Women are more [illegible] and [illegible] in [illegible] traditional highway construction crafts.
- Patterns of underrepresentation persist in highway construction in all categories for women and in the higher paying [illegible] skilled crafts for minorities.
- [illegible] Decentralized training [illegible] have been successful in changing patterns [illegible] for minorities. These changes are more [illegible] through the [illegible] program [illegible].
- Local [illegible] unions [illegible] particularly where members are [illegible] efforts to increase opportunities to minorities and women for membership and referral. Continued and expanded efforts are necessary to [illegible] that opportunities made available by passage of the [illegible] are not lost.

Objectives and General Approach

- To State and [illegible] highway construction [illegible] and their employers and [illegible] to enhance [illegible] of training.
- To [illegible] trainee and contractor needs [illegible] them [illegible] to increase the effectiveness of the program.
- To analyze, redesign, and disseminate information [illegible] of regional [illegible] and [illegible] and influence the program through regulatory revision and by providing model programs and technical assistance.

Major Elements Planned in FY 81	Amount ($000's)
Implementation of a three - two phased study on effective measures for involving women in nontraditional crafts.	100
Complete reviews of exceptional programs and incorporate findings in program and regulatory modifications.	
Allocate funds to State highway agencies to provide training and necessary supportive services to enhance the effectiveness of highway skills training programs.	[illegible]
Modify existing programs and, where necessary, provide technical assistance to increase effectiveness.	
Total	[illegible]

Major Program Objective:

Results:

- A more [illegible] skilled workforce.
- Increased quality of construction.
- Increased number of States [illegible] participants with [illegible] in [illegible] relationships and [illegible] in [illegible] programs.
- Increased productivity [illegible] time to complete work [illegible].
- Reduce vulnerability of employers to the complaints [illegible] for minorities and women.
- Better maintenance of roads and equipment [illegible] down time [illegible] profit potential.

Accomplishments in FY 80 to Date

- [illegible] FHWA and [illegible] reports.
- [illegible] alternative [illegible] and [illegible] training [illegible] reports.
- Provided [illegible] and [illegible] of the FHWA on issues [illegible] the training program in union areas.
- Completed [illegible] seminars in seven FHWA regions.
- Obtained [illegible] and training for staff [illegible] increasing monitoring and analysis capabilities.
- Completed a training cycle on "Assessing EEO Workforce Data" for FHWA and State civil rights staffs.
- Completed a comprehensive plan for a series of sequential studies to increase the awareness and capability of trainees, contractors, and program managers.
- Issued a model for [illegible] contracts in non-union areas.
- Collaborated with the Women's Bureau, DOL on a 2 phased [illegible] study.
- Established and maintained a working relationship with the AFL-CIO and [illegible].
- Addressed the annual meeting of the International Brotherhood of Operating Engineers on the objectives of the FHWA civil rights programs especially the [illegible] and [illegible] programs.

Accomplishments Planned for FY 81 and Future

- Reduction in reporting and recordkeeping burden consistent with good management.
- Develop [illegible] model contract language and program guides for union and non-union settings.
- Revise regulation.
- Review and refine roles of involved FHWA offices.
- Increase employment and [illegible] opportunities for minorities and women consistent with available opportunities and availability of personnel with requisite skills.

Form [illegible]

Fiscal Year 87 Program

Appropriation

Disadvantaged Business Enterprise/
Supportive Services Program

FY	Funding Level Oblig. ($000's)
Prior	10
85	4,571
86	5,000
87	10,000

Problem

- DBE's cannot successfully compete in the federal-aid highway program as mandated by the STAA of 1982 and implemented by 49 CFR Part 23 without training and assistance.

Objective and Overall Approach

- The objective of the supportive services program is to make available sufficient funds to provide DBE's with adequate training and assistance so they can successfully participate in the federal-aid highway program.

Planned Milestones Planned for FY 87	Funding ($000's)
To allocate to the States a total of $10 million for the provision of supportive services.	$10,000

Major Program Objective

Results

- DBE's will receive necessary training and assistance to help them successfully compete for federal-aid highway contracts and subcontracts.

Accomplishments FY 1986 to Date

- During FY 1985, DBE's were awarded [illegible] contracts and subcontracts in the total amount of $[illegible] billion. Also, during this period WBE's were awarded [illegible] contracts in the total of $[illegible] million.
- A study of the impacts of the DBE program was recently completed and the results of the study are currently being reviewed by the [illegible] headquarters of Federal Highway Administration.

Accomplishments Planned for FY 87 and Future

- To provide training and supportive services assistance to DBE's which is necessary for their successful participation in the federal-aid highway program.

[illegible]

Rural Technical Assistance Program (RTAP)

(In Thousands of Dollars)

	FY 1986	FY 1987
Program Level	$ 4,418	$ 4,838
Less: Unobligated Carryover	167	0
Requested Level	$ 4,251	$ 4,838

More than 225 projects have been identified as candidates for RTAP since FY 1982. There are currently 50 approved projects focusing on rural roads, bridges, and public transportation in rural areas. These projects provide a variety of technical assistance to assist rural communities throughout the Nation with their transportation problems. One example of an RTAP project is the establishment of Technology Transfer Centers in 32 States (including 29 universities and 3 State highway agencies. The major effort in FY 1987 will provide continued funding for these Centers and funding for new Technology Transfer Centers. Also, the FY 1987 RTAP will be used to continue previously approved projects and further develop the program in the critical areas as identified by the Rural Transportation Technical Assistance Needs Study and other sources.

For FY 1987, FHWA is requesting $4.8 million which will continue this program at an amount approximately equivalent to the funding level of $5.0 million authorized by Congress in previous years.

INTERJURISDICTIONAL TRUCKING PROGRAM

	(in thousands of dollars)	
	F.Y. 1986	F.Y. 1987
Program Level	$898	$500
Less: Unobligated Carryover	45	0
Requested Level	$853	$500

International Registration Plan (IRP)
International Registration Information Systems (IRIS)

The IRIS software system is a key element of the Interjurisdictional Trucking Program of the Department, designed to assist States in voluntarily meeting our objective of reducing paperwork and administrative burden on interstate carriers.

A contract with the American Association of Motor Vehicle Administrators (AAMVA) was let in spring, 1980, to develop, test and begin demonstration of IRIS. A subsequent contract with AAMVA to continue development of the IRIS and provide for at least 3 more demonstrations was let in FY 1984. Funds are requested for the balance of the contract, scheduled for completion in early FY 1987. This will complete demonstration of IRIS and facilitate a staged transition plan, to achieve full funding by the States. Funds provided in this contract will also be used to promote IRP membership through AAMVA and to train new members in IRP policy and procedures.

Fuel Tax

The Department has supported several States interested in developing and establishing administrative procedures for a base State agreement on fuel tax reporting. The agreement, called the International Fuel Tax Agreement (IFTA), is considered an essential step in the voluntary development of uniform State fuel tax regulations, which will help meet the Department's goal of reducing burden on interstate carriers. Funds will be used to continue support of the agreement through increased State participation and to advance the process of automating the IFTA procedures.

As membership in IFTA grows, the amount of information exchanged between States will increase to the point that automation of the fuel tax accounting process will be essential.

Uniform Regulations

A last area of program concern is related to the Section 19 study of the 1980 Motor Carrier Act. The recommendations were forwarded to Congress in conjunction with the Administration's bill for the Surface Transportation Assistance Act of 1982. The bill incorporated legislation to provide for greater uniformity of State regulation of motor carriers, but this was deferred to allow for hearings. A similar departmental legislative initiative was introduced in the House of Representatives in November 1983 as H.R. 4518.

In January 1985, the Federal Highway Administration entered into a joint contract effort with the National Governors' Association. All previously programmed studies under the uniformity and fuel tax projects were consolidated under the NGA contract. It combined resources of the NGA staff; other associations of State officials, including AAMVA, AASHTO, FTA, NASBO, NARUC and the NCSL; representatives of the State and the Federal Government to resolve the differences in motor carrier requirements between States. Funds are requested to help facilitate the development and implementation of products resulting from this effort. The goal is to achieve uniform procedures on a cooperative and voluntary basis.

Fiscal Year 1987 **Program**

Project Title Interjurisdictional Trucking Program

Funding Levels

FY	Oblig ($000's)
84	1,601
85	911
86	898
87	500

Problem

Cost constraints, paperwork constraints and time constraints have spurred complaints from the interstate trucking industry to the U.S. Congress and to the White House. The State regulations governing the registration and fuel tax accounting for interstate motor carriers differ from State to State; duplicative information is required for several agencies within the same State and considerable time delays are experienced in getting single-trip permits. The problem has international scope because of the amount of commerce that is carried on between the States and Canadian Provinces.

Objectives and General Approach

Objective: To facilitate interstate and international commerce on highways by encouraging States and Canadian Provinces to simplify and standardize regulation of motor carriers.

Approaches:

- Support of the International Registration Plan (IRP) which is an apportioned registration system initiated by the States.
- Development, testing, and demonstration of the International Registration Information System (IRIS) which is a computerized support system designed for administration of the IRP.
- Establishment of Regional Truck Permit Centers.
- Support of the International Fuel Tax Agreement (IFTA) which is an apportioned fuel tax system initiated by the States.
- Develop an automated system to support the IFTA.
- Assess revenue impacts of alternative tax and organization structures.
- Support voluntary State effort being conducted through the National Governors' Association (NGA) to define standard procedures for licensing and taxing interstate motor carriers.

Support evidenced through published reports, studies, workshops and design of automated systems.

Project Elements Planned for FY 1987	Amount ($000's)
IRP/IRIS	150
IFTA	125
Uniformity	225
Total	500

Form FHWA 707 (7-73)

Major Program Objective Simplify Regulation and Taxation Procedures for Motor Carriers involved in Interstate and International Commerce

Benefits

In general, the benefit is improved interstate and international commerce on the highway system. More specifically, the program benefits:

1. Motor Carriers-less paperwork, less duplication of effort, eased interstate movement, one registration plate per vehicle.
2. State Administrators-lower administrative costs, up-to-date management reports, greater speed and accuracy in calculating motor carrier registration fees and taxes, and better State responsiveness to commercial truck and bus registration under the IRP and IFTA.
3. Consumers-reduced prices of goods throgh increased competition among motor carriers.

Accomplishments FY 1985 and 1986

1. Have promoted the IRP through support of information materials to non-members States, IRP training to new IRP member States, before-and-after analysis of IRP membership and continuing support of fiscal impact assessments by States on entering the IRP.
2. Work closely with American Association of Motor Vehicle Administrators in planning and implementing IRIS demonstrations in additional States. Assisted AAMVA with the development of a long term plan for achieving an IRIS software system that is fully supported by user States. IRIS user group established.
3. Expansion of Iowa Regional Truck Permit concept to other States, with the goal of establishing one in the east, Rocky Mountain area, and West coast.
4. IFTA has been implemented by three States and expansion to interested New England States explored. The development of audit and administrative procedures is completed. The ADP feasibility study, delayed for the development of administrative procedures, will be undertaken to determine the need for an automated system. A steering committee will be established to promote more widespread membership in a uniform tax agreement.
5. As a follow-on to the study report to Congress entitled, "Uniform State Regulations" work with a special task force established by the NGA was completed on a 18 month jointly funded contract to identify appropriate standard procedures and ways to implement them to achieve greater uniformity.

Accomplishments Planned for FY 1987

Continue support of the IFTA agreement and development of automated IFTA procedures; continue support of IFTA Steering Committee; complete IRIS demonstration and continue support of the IRP: establish cooperative programs with State officials through the NGA Working Group on Motor Carrier Issues to implement findings of the joint Federal/State study conducted by the NGA.

Fiscal Year

Program Nationwide Truck Activity & Commodity Surveys

Project Title

Funding Levels

FY	Oblig ($000's)
1985	$ 724
1986	50
1987	850

Problem

- o Need to understand the effects of highway use on highway condition cost responsibility among highway users, revenues from use charges, safety, and national economic performance for the development and administration of policies and program related to highway construction and reconstruction, apportionments, truck sizes and weights, truck operating restrictions, and highway use taxes.
- o Federal statistical agencies and other parts of DOT do not have an adequate budget to support the monitoring activities that provide essential data on commodity flows and motor vehicle activity for the development and administration of highway programs and policies.
- o FHWA needs a comprehensive framework to develop effective, efficient methods of nationwide data collection for commodity flows and vehicle activity through the quinquennial Census of Transportation and related activities of the U.S. Bureau of the Census.
- o States and private industry cannot develop consistent, cost-effective monitoring activities to provide nationwide data on commodity flows and motor vehicle activity without Federal assistance and guidelines.

Objectives and General Approach

- o Provide requisite information for the development and administration of Federal transportation policies and programs through the development or enhancement of cost-effective nationwide surveys and censuses.
- o Develop methods to support access by Federal, State, and local agencies and by private industry to the data bases that result from nationwide surveys and censuses.

Project Elements Planned for FY 87 Amount	($000's)
Nationwide Truck Activity and Commodity Survey	$600
Truck Inventory and Use Survey	150
Motor Freight Transportation and Warehousing Survey	100
Total	$ 850

Major Program Objective Support the Planning, Policy Development, and Regulatory Missions of FHWA

Benefits

- o Improved capability to identify budgetary, regulatory, and other alternatives that enhance interstate commerce and the effectiveness of FHWA programs and policies.
- o Improved coverage, quality, cost-effectiveness, and efficiency of information to identify investments, regulations, and other actions that lower costs, reduce congestion, enhance safety, lessen environment impacts, and assure equitable user charges.
- o Capability to provide more thorough and verifiable analyse for congressionally mandated studies.

Accomplishments FY 1985 to Date

- o Completed and tested the design of the Nationwide Truck Activity and Commodity Survey as a follow-on to the Truck Inventory and Use Survey.
- o Analyzed alternatives, supplements, and improvements to the Economic Censuses and the Commodity Transportation Survey for improved coverage of highway transportation and improved statistical realiability.

Accomplishments Planned for FY 1987 and Future

- o Begin implementation of the Nationwide Truck Activity and Commodity Survey.
- o Develop improved procedures and data products for the Truck Inventory and Use Survey.
- o Expand and enhance the Motor Freight Transportation and Warehousing Survey.
- o Develop supplemental questions to other censuses and surveys to monitor private trucking activity.

Form FHWA 707 (7-75)

NATIONWIDE TRUCK ACTIVITY AND COMMODITY SURVEYS
(in thousands)

	FY 1986	FY 1987
Program level	$ 95	$ 850
Less: Unobligated carryover	45	0
Requested Level	$ 50	$ 850

FHWA requires data on highway use for congressionally mandated studies, regulatory impact assessments, and the development of policies related to motor vehicle sizes and weights, commercial carrier operating restrictions, user charge revenues, apportionments, cost responsibility, highway investment needs, and the economic productivity of the highway transportation system. This budget category provides a framework to:

- Develop cost-effective, nationwide data collection and analysis activities to monitor the amount and locations of commodity flows and truck activity; and
- Develop methods to support use by Federal, State, and local agencies of public data which result from the data collection activities.

The activities requiring most immediate attention would be funded in FY 1987.

The Nationwide Truck Activity and Commodity Survey (NTACS) was funded in FY 1985 to monitor the geography of commodity movements by truck; to measure truck operations, routing, and driver characteristics in required detail for policy studies; and to provide cost-effective links among data bases developed from the Truck Inventory and Use Survey (TIUS), the Motor Freight Transportation and Warehousing Survey (MFTWS), the Highway Performance Monitoring System (HPMS), and various accident reporting systems. Additional funds are required in FY 1987 to implement the NTACS as a follow-on to the 1987 TIUS and to integrate and disseminate a comprehensive truck data base from the NTACS, TIUS, MFTWS, and HPMS. This comprehensive data base is essential for FHWA evaluations of highway investment needs, truck use policies such as size and weight limits, highway user fee proposals, congressionally mandated studies, and major legislative proposals for redirecting the Federal-aid Highway program following completion of the Interstate System.

Summary

- The Nationwide Truck Activity and Commodity Survey (NTACS) requires $600,000 to conduct and tabulate the survey following the 1987 TIUS, and to integrate the results with other truck data bases. The Truck Inventory and Use Survey (TIUS) requires $150,000 for improved data products to enhance the utility of its results. The Motor Freight Transportation and Warehousing Survey (MFTWS) requires $100,000 for expanded coverage of motor carrier activities. The Bureau of the Census will spend approximately $5 million in addition to these amounts for these surveys and related components of the 1987 Census of Transportation.

Fiscal Year 1987 Program

Project Title

National Accident Sampling System (NASS)

Funding Levels	
FY	Oblig. ($000's)
80-84	2,550
85	554
86	400
87	350

Problem

The collection and portrayal of national highway accident statistics has been widely recognized as unsatisfactory. A National Center for Statistics and Analysis was formed under the control of the National Highway Traffic Safety Administration (NHTSA) and the Center has developed the NASS.

This highway accident data collection system was modified to include adequate information about the highway to examine the safety impact of various highway features.

Objectives and General Approach

The Federal Highway Administration (FHWA) developed a comprehensive list of highway safety data requirements to be collected to support safety programs. This list was submitted to NHTSA for inclusion in NASS and is updated as new needs are identified. The FHWA has participated in the funding of the NASS Continuous Sampling System development and subsequent operation, and in the funding of special studies for FHWA since FY 1980.

Project Elements Planned for FY 87	Amount ($000's)
National Accident Sampling System (NASS)	350
Total	350

Major Program Objective

Benefits

Information to identify geometric and roadside details that may contribute to either the occurrence of and/or its severity. When barriers, crash cushions, or luminaire supports are struck, information is needed on how their design led to an increase or decrease in accident frequency or severity for different vehicle classes. Answers to these issues can serve as a basis for improved design and operational practices.

Accomplishments FY 1979 to Date

1980-1985: 1,757 FHWA special studies cases have been collected in NASS and are available for FHWA uses. The final special study for accidents involving longitudinal barriers is scheduled to terminate December 31, 1986. Other special studies related to crash cushions and luminaire supports.

1980-1985: Through 1984, 43,650 Continuous Sampling Systems (CSS) accident cases have been collected and are available for FHWA use. NHTSA estimates there will be 12,400 cases collected in 1985.

Accomplishments Planned for FY 1987 and Future

- Continue the identification and collection of highway data elements in the Continuous Sampling System of NASS.
- Provide access to NASS Continuous Sampling System data collected in prior years and in the future years for FHWA purposes.
- Provide for storage and access to NASS Special Study data collected for FHWA.

Form FHWA 707 (7-75)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

Program and Financing

	1985 actual	1986 est	1987 est
Program by activities			
Program direction and coordination			
Executive direction	852	846	872
Program review		206	213
Legal services	1,974	1,961	2,017
Public Affairs	146	145	149
Civil Rights	896	890	916
General program support			
Policy	13,002	13,953	13,083
Research, development, and Technology	28,415	32,970	22,000
Administrative support	41,230	39,551	51,112
National Hwy Institute	2,331	1,416	1,416
Career development programs	3,120	3,087	3,198
Highway programs			
Engineering and program development	11,176	10,911	11,116
Right-of-way and Environment	3,272	3,255	3,338
Safety and Traffic Operations	3,794	3,703	3,467
Motor Carriers		393	412
Construction skill training and minority business enterprise	11,965	16,431	12,500
Bonding demonstration program	...	5,000	...
Field operations	78,835	78,038	80,382
Total obligations	201,008	212,756	206,191
Financing			
Offsetting collections from Federal funds	-3,107		...
Unobligated balance available, start of year	-3,943	-8,995	...
Unobligated balance transferred, net	1,500	...	...
Unobligated balance available, end of year	8,995		...
Limitation	204,452	203,761	206,191

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

Program and Financing

	1985 actual	1986 est	1987 est
Relation of obligations to outlays:			
Obligations incurred, net	197,900	212,756	206,191
Obligated balance, start of year	186,427	206,301	252,308
Obligated balance, end of year	-206,301	-252,308	-277,854
Outlays from limitations	178,026	166,749	180,645

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

Object Classification (in thousands of dollars)

Identification Code 20-8102-0-7-401		1985 actual	1986 est.	1987 est.
	Personnel compensation			
11 1	Full-time permanent	99,849	100,335	94,254
11 3	Other than full-time permanent	2,414	2,879	2,879
11 5	Other personnel compensation	1,591	906	1,706
11 9	Total personnel compensation	103,854	104,120	98,839
12 1	Personnel benefits Civilian	13,819	13,139	13,774
13 0	Benefits for former personnel	2	50	50
21 0	Travel and transportation of persons	5,059	4,684	4,881
22 0	Transportation of things	790	653	680
23 1	Standard level user charges	9,895	9,761	10,941
23 2	Communications, utilities, and other rent	5,576	5,165	5,382
24 0	Printing and reproduction	1,189	1,209	1,209
25 0	Other services	57,577	71,928	68,303
26 0	Supplies and materials	1,015	957	997
31 0	Equipment	2,225	1,089	1,135
32 0	Lands and structures			...
42 0	Insurance claims and indemnities	7	...	...
93 0	Administrative expenses included in schedule as a whole	-201,008	-212,756	-206,191
99 0	Total obligations		...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
GENERAL OPERATING EXPENSES

Personnel Summary

	FY 1985	FY 1986	FY 1987
Total number of full-time permanent positions	2,675	2,629	2,463
Total compensable workyears			
Full-time equivalent employment	2,774	2,760	2,591
Full-time equivalent of overtime and holiday hours	19	14	14

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

REDUCTION PURSUANT TO PUBLIC LAW 99-177

Program and Financing

	1985 actual	1986 est	1987 est
Program by activities			
Total obligations		-8,762	
Financing			
Limitation		-8,762	
Relation of obligations to outlays			
Obligations incurred, net		-8,762	
Obligated balance, start of year			-438
Obligated balance, end of year		438	
Outlays from limitations		-8,324	

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[MOTOR CARRIER SAFETY]

[For necessary expenses to carry out the motor carrier safety functions of the Secretary as authorized by the Department of Transportation Act (80 Stat. 939-940), $13,900,000 of which $953,000 shall remain available until expended, and not to exceed $1,601,000 shall be available for "Limitation on general operating expenses".] (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Program and Financing (in thousands of dollars)

idenification code 69-0552-0-1-401	FY 1985	FY 1986	FY 1987
Program by Activities			
1 Operations	10,748	11,345	
2 Research and Development	519	1,604	
3 Demonstration program		470	
4 Administration	1,601	1,601	
10 00 Total obligations	12,868	15,020	
Financing			
17 00 Recovery of prior year obligations	-90		
21 40 Unobligated balance available start of year	-381	-1,120	
24 40 Unobligated balance available, end of year	1,120		
25 00 Unobligated balance lapsing	385		
40 00 Budget authority	13,902	13,900	

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Program and Financing (in thousands of dollars)

identification code 69-0552-0-1-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays:			
71 00 Obligations incurred, net	12,868	15,020	
72 40 Obligated balance, start of year	2,469	2,438	3,008
74 40 Obligated balance, end of year	-2,438	-3,008	-1,346
77 00 Adjustments in expired accounts	27		
78 00 Adjustments in unexpired accounts	-90		
90 00 Outlays	12,837	14,450	1,662

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	1985 actual	1986 estimate	1987 estimate
Enacted/requested:			
Budget authority	13,902	13,900	...
Outlays	12,837	14,530	1,662
Reduction pursuant to P.L. 99-177			
Budget authority	...	-598	...
Outlays	...	-537	-61
	--------	--------	--------
Total			
Budget authority	13,902	13,302	...
Outlays	12,837	13,913	1,601
	========	========	========

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	1985 actual	1986 estimate	1987 estimate
Enacted/requested			
Budget authority	13,902	13,900	...
Outlays	12,837	14,530	1,662
Reduction pursuant to P.L. 99-177			
Budget authority	...	-598	...
Outlays		-597	-61
	--------	--------	--------
Total			
Budget authority	13,902	13,302	
Outlays	12,837	13,913	1,601
	========	========	========

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Object Classification (in thousands of dollars)

idenification code 69-0552-0-1-401	FY 1985	FY 1986	FY 1987
Personnel Compensation			
11 1 Full-time permanent	7,784	8,610	
11 3 Other than Full-time permanen	166	132	
11 5 Other personnel compensation	129	34	
11 9 Total personnel compensation	8,079	8,776	
12 1 Personnel benefits Civilian	973	977	
21 0 Travel and transportation of persons	883	839	
22 0 Transportation of things	4	5	
23 2 Communication, utilities, and other rent	35	20	
24 0 Printing and reproduction	1	1	
25 0 Other services	2,806	4,245	
26 0 Supplies and materials	42	68	
31 0 Equipment	45	89	
99 0 Total obligations	12,868	15,020	

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Personnel Summary

Identification code 69-0552-0-1-401	FY 1985	FY 1986	FY 1987
Total number of full-time permanent positions	271	373	
Total compensable workyears			
Full-time equivalent employment	248	305	

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Program and Financing (in thousands of dollars)

Identification code 69-0552-6-1-401	FY 1985	FY 1986	FY 1987
Program by Activities			
10 00 Total obligations		-598	
Financing			
40 00 Budget authority		-598	

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Program and Financing (in thousands of dollars)

Identification code 69-0552-6-1-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays			
71 00 Obligations incurred, net		-598	
72 40 Obligated balance, start of year			-61
74 40 Obligated balance, end of year		61	
77 00 Adjustments in expired accounts			
78 00 Adjustments in unexpired accounts			
90 00 Outlays		-537	-61

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Motor Carrier Safety -

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) and applicability provision of the Department of Transportation Appropriations Act for FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or $598,000 from the FY 1986 appropriation. It is estimated that this will reduce outlays by $537,000 in FY 1986 and $61,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the planned reductions will take place on March 1, 1986, unless altered by an Act of Congress. The program and financing schedule which follows gives financial detail on this account.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

EXPLANATORY NOTE

In P.L. 99-190, (the FY 1986 Appropriations Act), Congress appropriated $13.9 million in funding in FY 1986 for the Motor Carrier Safety program although a reduction of $598 thousand in budget authority could be placed in effect in accordance with the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177). Also, for FY 1986, a reprogramming request has been sent to the Chairman, Subcommittee on Transportation, United States Senate and to the Chairman, Subcommittee on Transportation, United State House of Representatives to request a reprogramming of funds for the recruitment of additional Federal Motor Carrier Safety specialists starting in April 1986. For further explanation, see heading, Motor Carrier Safety (Trust Fund).

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY (HIGHWAY TRUST FUND)

For necessary expenses to carry out the motor carrier safety functions of the Secretary as authorized by the Department of Transportation Act (80 Stat. 939-940), $19,515,000 to be derived from the Highway Trust Fund, of which $1,900,000 shall remain available until expended. (Additional authorizing legislation to be proposed.) Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

GENERAL STATEMENT

The Motor Carrier Safety mission, in accordance with the Department of Transportation Act, the Interstate Commerce Act, the Hazardous Materials Transportation Act, and the Truck Safety Act, is to protect the public from risk inherent in commercial truck and bus transportation by highway.

The budget request for FY 1987 is $19,515 thousand for the MCS program. This amount is about $5,615 thousand more than the FY 1986 appropriation, due mainly to increases in personnel salaries and benefits for the staffing increase request, administrative expenses and contract research program increase.

The Motor Carrier Safety Program consists of two major activities; they are MCS Operations and Contract Research Program. A brief summary of each follows:

MCS Operations

The MCS Operations activity deals with protecting the public from risks related to the operation of heavy commercial motor vehicles operating on our highways and from risks associated with the transporting of hazardous materials in the highway mode. A total of $17,615 thousand is requested for this activity in FY 1987.

MCS Contract Research Program

Focuses on using the scientific research method to define and resolve technical problems which are relevant to the support of Federal Motor Carrier Safety Regulations (FMCSR) and the safety of operations of commercial motor vehicles and drivers. A total of $1,900 thousand is requested for FY 1987.

MOTOR CARRIER SAFETY
F.Y. 1987 BUDGET REQUEST
THOUSANDS OF DOLLARS

		Adjustments to Base and Built-in Changes							F.Y. 1987 Changes			
	FY 1986	Merit Pay and WIG's	Gen Merit Performance Awards	Change of Official Duty Station	Moving Costs	Inflation	Safety Review Panel	FY 1986 Adjusted Base	Research Contracts	Other	Annualization (Hazardous Materials) and Staffing Increase	FY 1987 Request
Personnel Resources												
FTP Positions	373							373			60	433
FTP Full Time Equivalent	286							286			106	392
Other than FTP FTE	19							19				19
Financial Resources												
Salaries & Benefits	10,813	$110	$30	$138	$127			$11,218			$3,708	14,926
Travel	1,116			49		$83	$120	1,367			216	1,583
Transportation	5			111				116				116
Rent	21							21				21
Printing	1							1				1
Other Services	1,189			3		45		1,237	$1,188	50	231	2,706
Contract Program	(712)							(712)	(1,188)			(1,900)
Admin. Transfer	(0)							0				0
Career Training	(434)							(434)			(231)	(665)
All Other	(43)			(3)		(45)		(91)		(50)		(141)
Supplies and Materials	68					2		70				70
Equipment	89					3		92				92
Total Appropriation	$13,302	$110	$30	$300	$127	$133	$120	$14,122	$1,188	$50	$4,155	$19,515

MOTOR CARRIER SAFETY

Analysis of Budget Authority/Obligations F.Y. 1986 vs. F.Y. 1987

	($ in thousands of dollars)	
	F.Y. 1986	F.Y. 1987
Motor Carrier Safety Operations	$11,345	$17,615
Contract Research Program	953	1,900
Administrative Support	1,601	***
Total (Budget Authority)	13,900	19,515
Unobligated balance from 1985	1,120	***
Total (Obligations)	15,020	19,515

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

NARRATIVE EXPLANATION

	($000)
Mandatory Adjustment	
Merit Pay and Within-Grade Increases	+110

Merit pay and within-grade increases (WIG's) are mandatory expenses that must be paid to those employees having spent that required time period at their present step-in-grade while maintaining at least a satisfactory work performance rating.

General Merit Performance Awards	+30

This amount is requested to cover costs associated with legislation enacted late in calendar year 1984 that requires that not less than 3/4% and not more than 1 1/2% of total General Merit salaries be paid to GM employees in performance awards. Although these costs were mandated effective in FY 1985, due to the timing of the enacted law it did not permit the inclusion of necessary dollar resources to be budgeted in fiscal years 1985 and 1986. This increase would allow for the restoration of these previously absorbed costs.

Change of Official Duty Station	+300

In past years, change of official duty station costs were included as a part of the administrative transfer of funds from this account to General Operating Expenses. With the passage of the new laws related to the change of duty station and ever increasing costs of this budgetary item it is more appropriate for the Motor Carrier Safety account to budget and pay for these costs directly rather than fund them through the administrative transfer. Consequently, we have taken this item out of the computation of the administrative transfer formula and are requesting this increase to provide for direct funding.

Increased Moving Costs	+127

Two laws have been recently enacted that significantly increase the costs to the Federal Government related to the change of official duty station. Specifically, funds are required to cover new requirements identified as relocation services and relocation taxes. This increase is mandatory to cover these increased costs.

Estimated Inflation +133

This amount reflects an estimated cost increase of 8% (4% for each of the fiscal years 1986 and 1987 respectively) to cover the ever-rising costs of operations.

Increase due to Safety Review Panel +120

Section 209 of the Motor Carrier Safety Act of 1984, P.L. 98-554, Title II, 98 Stat. 2829, directs the Secretary of Transportation to establish the Commercial Motor Vehicle Safety Regulatory Review Panel (Safety Panel). This Safety Panel is to consist of 15 members, the Secretary or her designate and 14 members selected by the Secretary from lists provided by the Congressional Committees. The purpose of the Safety Panel is to review all State laws and regulations pertaining to commercial motor vehicle safety, to analyze their stringency relative to the Federal safety regulations, and to make recommendations to the Secretary which the Secretary will use in determining whether certain State laws or regulations will be preempted under section 208 of the Motor Carrier Safety Act of 1984. The Safety Panel is also directed to conduct a study to eveluate the need, if any, for any additional Federal assistance to the States to enable the States to enforce the Federal safety regulations and to determine other methods of furthering the objectives of the Motor Carrier Safety Act of 1984. It is estimated that the annual costs of this Safety Panel will approximate $120,000 and appropriate funds are being requested to fulfill the panel requirements as mandated by law.

Program Increases:

Research and Development 1,188

The objective of this program is not only to investigate and search out solutions to safety programs, but also to responsibly develop supportive information for federal positions on petitions for regulatory revisions, deletions or additions from the general public. In order to more effectively achieve this two-fold goal, an increase of $1,188 thousand is requested for FY 1987.

The requested increase of $1,188,000 for FY 1987 Motor Carrier Safety Research and Development over FY 1986 reflects the level of effort necessary to react to the demand for increased safety in trucking. Specifically, reevaluation of existing part of the Federal Motor Carrier Safety Regulations as required by OMB will be on-going as will activity in the engineering aspects of vehicle safety. The Driver Performance category of research will increase the most dramatically as BMCS moves into validation of the Truck-Driver Training Curriculm. Hazardous Material Modal Research and State Program Research and Assessments both increase by 50 percent as these two important programs gain momentum. Most noteworthy will be a greatly increased number of States participating in the Motor Carrier Safety Grants program and the commensurate rise in demand of assistance of various kinds that will require research efforts in order to respond meaningfully.

Data Collection +50

The mission of BMCS is to increase the safety of the Nation's highways by reducing the number and severity of commercial vehicle accidents. The BMCS has numerous activities and programs to accomplish this goal, one of them being Motor Carrier Safety Grants Program which is a grant program to establish uniform vehicle/driver inspection procedures.

In order to evaluate the effectiveness of such programs, it is imperative that accurate data be collected on all aspects of accidents, including their severity, exposure indices, vehicle configurations and mechanical condition, and driver characteristics. This collection will become increasingly critical in the next two years because of the need to compare accident rates before-and-after implementation. An increase of $50,000 is required to cover the increased accident data collection costs.

Increased Staffing +4,155

At the present time, we are seeing rapid and significant changes in the transportation environment. The trucking industry currently consists of approximately 470,000 carriers engaged in interstate and intrastate operations, which, according to the American Trucking Associations, Inc., general annual revenues of $200 billion, log more than 138 billion miles annually, and haul 77 percent of the dollar value of all freight carried in this country. Two hundred and fifty thousand of these carriers participate in only intrastate commerce and, therefore, are not generally subject to BMCS safety regulations. The remaining 217,560 carriers particpate in interstate hauling and are subject to Federal safety regulations. These interstate carriers account for approximately 3.5 million trucks and 4.5 million drivers. Furthermore, the number of interstate carriers has increased each of the last five years from 187,000 in FY 1982 to 217,560 in FY 1986. This trend is expected to continue.

A recent internal review by the Department of Transportation led to a decision to have a large, positive impact on commercial truck and bus safety by adding 150 safety specialists cumulative to BMCS' current field staff.

The increase in field staff will complement the Department's development of a more effective program for identifying problem carriers and increasing compliance. This process involves a significant change in the focus of the BMCS program away from its historical safety audit role and towards education, assistance, and continued monitoring of problem carriers. This includes educating motor carriers with safety problems on safety management and operating procedures, and ensuring significant fines for those carriers that continue a pattern of willful noncompliance. It also includes making increased use of the State programs funded under the Motor Carrier Safety Assistance Program in developing the inspection and accident information necessary to adequately regulate the industry.

The Department believes the new motor carrier program, with its increased field staff will appropriately respond to many of the concerns expressed in past GAO, OIG~~, and~~ Congressional Committee reports.

MOTOR CARRIER SAFETY

FINANCIAL REQUIREMENTS

	($ in 000's)
FY 1986 Appropriation	$13,900
FY 1986 Reduction due to Gramm-Rudman Act	-598
FY 1986 Revised	13,302
Adjustments to Base and Built-in Changes	
Merit Pay and Within Grade Increases	+110
General Merit Performance Awards	+30
Change of Official Duty Station	+300
Increased Moving Costs	+127
Estimated Inflation	+138
Increase due to Safety Review Panel	+120
Adjusted Base, FY 1986	14,122
Program Increases	
Research Contracts Program Increase	+1,188
Other Increases	+50
Annualization and Staffing Increase	+4,155
Total, FY 1987 Requirements	$19,515

*The FY 1986 reduction of 598 thousand due to Gramm/Rudman Act is in accordance with the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177).

57-946 O—86——11

DEPARTMENT OF TRANSPORTATION
STATEMENT ON GAO REPORT

I. TITLE: Stronger Enforcement Would Help Improve Motor Carrier Safety (GAO/RCED - 85-65, September 5, 1985)

II. SUMMARY OF GAO FINDINGS AND RECOMMENDATIONS

The GAO found many differences in how: safety investigators select carriers for audit, develop safety ratings, identify actions to take on the basis of audit results, and how enforcement cases are processed. The GAO noted that the Bureau of Motor Carrier Safety (BMCS) field staff needs specific guidance on the selection, rating, and enforcement process. The GAO further found that the BMCS Headquarters office does not have direct control over its field staff which prevents adequate oversight of field activities.

The GAO recommended, in summary, that the Secretary of Transportation direct the Federal Highway Administrator to take a number of actions to:

- better ensure that carriers and shippers posing the greatest safety risk are selected for audit;
- develop and provide criteria and guidance for preparing safety ratings and determining the appropriate enforcement actions;
- monitor the processing of enforcement cases, and develop and provide to regional attorneys (1) criteria for assessing fines and (2) requirements for documenting justification for assessments; and
- establish the program elements needed to develop the Federal grant program for motor carrier safety.

The GAO noted in the report that the proper implementation of the actions initiated by the Department, i.e. the Federal Highway Administration, has the potential to correct the problems discussed in the report. These actions include the establishment of an Associate Administrator for Motor Carriers, the establishment of direct line authority from the BMCS to its field offices, the establishment of a national motor carrier safety (MCS) program planning system, the establishment of requirements for the Motor Carrier Safety Assistance Program (MCSAP) pre-program reviews with States and for State long- and short-range planning and programming of MCSAP activities, and the establishment and initiation of a comprehensive, ongoing program review procedure at all levels of the MCS organization.

III. SUMMARY OF DEPARTMENT OF TRANSPORTATION POSITION

The Department generally agrees with the GAO's findings and recommendations with the exception of the following comments and believes that the FHWA action taken, underway, or planned in implementing the organizational and program recommendations of its MCS Task Force will, in effect, carry out the intent of many of the GAO recommendations. Additionally, to be sure we are making the best possible use of newly allocated resources, the Secretary has asked her Safety Review Task Force to review the FHWA, with a particular emphasis on motor carrier safety and the safety audit process.

During the audit, the GAO reviewed motor carrier safety and hazardous materials enforcement cases concluded between October 1, 1980, and October 31, 1983. On pages 35, 40, and throughout Chapter 4, the GAO indicated that the BMCS does not have criteria for ensuring that assessed fines are consistent with the severity of violations found. In this regard, it should be recalled that at that time only a few recordkeeping violations could be handled through civil forfeiture procedures. Assessments in those cases were generally consistent, i.e., $500 per count. Violations of the motor carrier safety regulations were handled as criminal cases by U.S. Attorneys over whom the FHWA has no control with regard to fines. Criteria for handling motor carrier safety cases under revised 49 U.S.C. 521(b) setting forth three levels of penalties against motor carriers have been developed. In determining the level of assessment, the statutory criteria, including the severity of the violations, is considered. In accordance with the FHWA Chief Counsel's guidelines, documentation of the criteria factors considered in settlement is suggested. In accordance with the FHWA's rules of practice, BMCS officials, not counsel, sign the documents indicating the initial assessments and settlements in administrative cases.

The time periods for "case settlement" contained in the charts listed on pages 37-39 of the GAO report are misleading since in fact many cases, particularly hazardous materials cases, do not involve settlement. In many cases the parties are unable to settle or the assessment is not paid in full. These cases are then referred to the Associate Administrator for Motor Carriers for issuance of a final agency order. If, as frequently occurs, the carrier or shipper fails to pay the assessment ordered by the Associate Administrator, the cases are referred to the Department of Justice (DOJ) for collection. A court decision is then rendered on default or summary judgment ordering payment of the agency assessment. Upon nonpayment of the court order, a writ of attachment may be issued. Other cases involve delayed processing since the motor carrier is involved in bankruptcy proceedings and the agency is listed as a creditor in interest. While the percentage of cases involving necessary submissions to DOJ and bankruptcy proceedings each year may be small, even one case per year would be sufficient to increase by months or years the processing times and case settlement ranges noted in these charts.

IV. STATUS OF CORRECTIVE ACTION

GAO Recommendation: That the Federal Highway Administration take action to better ensure that carriers/shippers posing the greatest safety risk are selected for audit.

FHWA Action: The FHWA is designing a program for planning, reviewing, and evaluating the Motor Carrier Safety Program at Headquarters, regional and field office levels. The procedures for this program have been drafted and are in circulation for comment by the Motor Carrier Safety field staff. Once the procedures have been finalized, the objectives of an effective monitoring plan will be implemented to ensure that program goals are being accomplished at both the BMCS's Headquarters and field levels.

The criteria for the selection of a motor carrier for audit is based principally on the following: preventable accidents, accident ratio, a safety rating other than satisfactory, vehicle out-of-service defects, transporter of hazardous materials, or no current audit of a carrier of hazardous materials. The Regional offices are supplied with a list of carriers, by States, which meet the selection criteria, at the beginning of each fiscal year. The auditing of these carriers then becomes part of the annual work plan.

In FY 1986, the selection criteria process was improved by weighting each criteria and summing the weights. The field staff was then requested to audit carriers with the higher weight first. These procedures were outlined at the Motor Carrier Safety Conference for Regional Directors in June 1985 to provide uniform direction in the use of the selection criteria.

The Regional Directors of Motor Carrier Safety have been advised to monitor each of their States for adherence to the procedure. In addition, the BMCS intends to revise its field operations manual to provide clear guidance to the staff in determining the necessary enforcement actions.

The BMCS intends to develop selection criteria for hazardous materials shippers. Most of the time allotted for hazardous materials shippers in FY '86 will be expended in identifying those shippers in need of attention. This will be accomplished through safety management audits, driver/vehicle examinations, hazardous materials incident investigations and other sources as they relate to hazardous materials.

GAO Recommendation: That the Federal Highway Administration develop/provide criteria and guidance for preparing safety ratings and determining the appropriate enforcement actions.

FHWA Action: The BMCS has provided the field staff with guidance in evaluating a motor carrier's compliance after an audit. The Bureau intends to update this guidance and ensure that all staff personnel have it and follow the procedures as outlined.

The BMCS is developing a Safety Management Audit Course and will conduct a pilot of this course in FY '86. The objectives of the training course will be to stress uniform procedures in evaluating motor carriers and shippers for compliance, and to deliver a thorough understanding of the Bureau's enforcement policies.

GAO Recommendation: That the Federal Highway Administration monitor the processing of enforcement cases, and develop and provide to regional attorneys criteria for assessing fines and requirements for documenting justifications for assessments.

FHWA Action: As stated previously in response to the first GAO recommendation, the BMCS intends to monitor its motor carrier safety programs very closely. Intense efforts will be made to effectively evaluate all aspects of the motor carrier safety program with a definite stress on enforcement efforts. Guidelines for the processing of motor carrier cases, including the assessment of penalties, have been forwarded to Regional Counsels for implementation.

In addition, guidelines have been issued to the MCS field staff for the processing of vehicle defect cases discovered as a result of driver/vehicle examinations. This new procedure will reduce the preparation and processing time of motor carrier safety cases and increase enforcement efforts noticeably.

The BMCS is in the process of developing an enforcement data tracking system to monitor every investigation report initiated by the motor carrier safety field staff. The system will be capable of following an investigation from its initiation to its final processing for the assessment of penalties. This system will be in place in FY '86.

GAO Recommendation: That the Federal Highway Administration establish the program elements needed to develop the Federal grant program for motor carrier safety.

FHWA Action:

The FHWA has already effected realignments of the Federal Motor Carrier Safety Program to address the Motor Carrier Safety Assistance Program (MCSAP). Those in place, as well as additional functional revisions now under development, have been and will be accomplished within the planned staffing resources of the FHWA and will fully support the administration of the $50 million grant funding.

At the National Level

1. Federal and State training courses for all FHWA and State personnel involved with MCSAP have been developed and are being given. Funds previously dedicated to the training and retraining of Federal personnel are now also being used for a "Grant Management" course for Headquarters, Region and operational level Federal staff. In addition, the FHWA resources that support the Transportation Safety Institute, Oklahoma City, Oklahoma, for the roadside inspection and enforcement training of the Federal work force are now being utilized almost exclusively to train State enforcement personnel in roadside inspection and safety management audit activities.

2. Within present resource levels, a Federal/State Management Information System for the sharing of enforcement data has been developed and will be implemented with those States actually performing roadside inspections in FY '86. Enforcement activities and accomplishments of both parties of the Federal/State partnership will be entered by and available to the FHWA and the States. The capability of sharing data between States is also incorporated. The development testing conducted in four States received the enthusiastic support of implementation States.

3. During the last 18 months, the FHWA has participated as a technical resource to the State created organization dedicated to commercial vehicle safety (the Commercial Vehicle Safety Alliance). The FHWA has sponsored workshops of Federal, State, and industry experts in a successful effort to establish key elements of motor carrier safety, such as a national uniform driver/vehicle inspection procedure and national out of service criteria for safety and hazardous materials regulations. The FHWA intends the continuous revision of program standards and procedures.

At the Headquarters Level

A new State Programs Division has been established within the Bureau to develop policy and procedures and to administer and evaluate the MCSAP activities.

The placement of this Program at this level will provide adequate visibility of the function to both States and industry. Staffing will be adequate to administer the program uniformly, consistently, and in accordance with prescribed laws, regulations, and directives.

At the Regional Level

A specific position of Regional Coordinator for State Programs will be created to reflect the increased significance of the Program. This position will be responsible for the Regional award and management of each State grant within the FHWA Region. Again, consistency and uniformity within each Region is emphasized.

At State and/or Program Level

The functions under the position of the Officer-in-Charge (OIC) at the State level, already in place, have been restructured to place greater emphasis on the MCSAP. This will accomplish the realignment from a Federal "hands-on" program of actually performing selected motor carrier safety functions such as roadside inspections to the management of the MCSAP. The OIC position will still continue to be responsible for motor carrier safety functions that cannot be performed by State personnel such as safety compliance audits of interstate carriers. Each Federal safety investigator within a State will focus his/her activity on interstate enforcement of the Federal Motor Carrier Safety Regulations and the Hazardous Materials Regulations.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY RESEARCH AND DEVELOPMENT

Research Subjects	1985	1986	1987
1. Regulatory Impact Assessment	206	498	200
2. Vehicle and Component Integrity Analysis	150	-0-	250
3. Driver Performance and Driver Analysis*	406	19	700
4. Hazardous Materials Modal Research	200	-0-	400
5. State Programs Research and Assessment	200	195	350
Small Business Innovative Research Program (Dollar amount integrated into other categories and not added into totals).	(12)	(22)	(25)
Unobligated Carryover	1		
TOTAL	1,163	712	1,900
Total Budget Authority	1,163	712	1,900

The five general categories summarize the research areas in which individual projects have been and are intended to be undertaken. Each of these general categories are explained with further detail in the following pages.

* The following categories were combined to this one "category" Casual Factor of Accidents, Driver Performance-Training, Employee Safety and Health, and Driver Performance—Medical.

MOTOR CARRIER SAFETY RESEARCH PROGRAM OVERVIEW

The Bureau of Motor Carrier Safety (BMCS) was established within the Department of Transportation as part of the Federal Highway Administration (FHWA), on April 1, 1967. The mission of the Bureau is to reduce the risk of commercial accidents, to decrease fatalities, injuries, and property losses attributable to commercial motor vehicle accidents and to help reduce the economic loss due to all types of motor vehicle accidents. The Bureau has also initiated a research and development program with the intent of applying state-of-the-knowledge technology in support of rulemaking applicable to commercial motor vehicles and drivers.

The Motor Carrier Safety Act of 1984 has further increased the Bureau's need to contract for research in order to report to the Secretary and Congress within the specific time frames as directed by the Act. Much of the data required to accurately prepare reports to the various sections of the Act are unavailable within the FHWA and the BMCS.

The Bureau has identified the areas germane to the Act as well as other areas pertinent to the Motor Carrier Safety program. They have been categorized as follows:

(1) Regulatory Impact Assessment
(2) Vehicle Component Integrity Analysis
(3) Driver Performance and Accident Analysis
(4) Hazardous Material Modal Research
(5) State Programs Research and Assessment

A synopsis of the Fiscal Year 1987 program follows:

REGULATORY IMPACT ASSESSMENT

Regulatory impact analysis helps to ensure that regulations are effective and inexpensive. Executive Order 12291 and the Regulatory Flexibility Act require that all regulations be analyzed and evaluated. The analysis must examine the likely consequences of each provision of the regulation. The first consideration is whether the regulation is likely to produce the desired result, usually a reduction in accident frequency or severity. The next step is to determine who will be affected by the regulation, and to quantify that affect. The regulation will produce benefits for some groups and costs for others, while some groups will encounter both benefits and costs. The effect on small entities receives special attention.

After the regulation is analyzed alternative courses of action are analyzed, including the "do nothing" alternative. The regulation is evaluated by comparing it to the alternatives. The assumptions used in analyzing the regulations are changed in the sensitivity analysis, and the results of changing the assumptions are compared. The evaluation is completed by summarizing the results of the comparison to alternatives and the sensitivity analysis, and by making recommendations.

The need for research occurs at each step of the analysis and evaluation. It is difficult to obtain and develop data on the motor carrier industry because it is large, involving over 200,000 identified interstate motor carriers, diverse, and by its nature mobile, making it difficult to determine such simple facts as how many trucks are regulated. Small entities include owner-operators, who often live in their trucks and avoid data gathering locations either to avoid delays or to avoid law enforcement. Truck manufacturers build most trucks to order, making it difficult to determine what equipment is actually operating. The problem of determining what equipment is operating is further complicated by after-market modifications.

Many of the problems in researching the impact of regulations can be overcome by the use of contract research. Contract researchers have access to proprietary data-bases. They also have access to individuals with unique skills or experiences which may enable them to perform analysis beyond the capability of BMCS.

Contract researchers also may have an advantage in that they are disinterested third parties, allowing them to make more objective assessments of regulations, and giving their analysis more credibility to those who would claim, with or without justification, that any analysis performed by BMCS personnel is inherently biased.

VEHICLE AND COMPONENT INTEGRITY ANALYSIS

There are two main concerns in vehicle and component integrity analysis. One concern is that regulations properly accomodate and regulate emerging technological improvements in vehicles and their components. The other concern is that older vehicles are having their service lives extended, requiring closer attention to the problems that occur as some vehicle components receive inadequate maintenance.

BMCS needs the assistance of contract researchers who are experts in emerging technologies, as its staff does not and could not be expected to include experts in diverse fields as electrical engineering, fluid dynamics, materials, control technology, or any of the disciplines in which a breakthrough may offer an opportunity to improve motor carrier safety.

Older trucks also present problems which require the assistance of contract researchers. Brake, wheel, and tire defects are the major contributors to accidents caused by mechanical failure. Contract researchers with experience in application of maintenance engineering to trucks may be able to provide BMCS with potential solutions to this problem.

DRIVER_PERFORMANCE_AND_ACCIDENT_ANALYSIS

Driver error is the major contributing factor to accidents. A recent research effort showed that 65 percent of accidents studied were driver preventable, in other words, the accidents could have been prevented if the drivers had acted correctly. Drivers are subject to stress, noise, vibration, irregular eating and sleeping habits, and a plethora of other environmental factors, any one of which might reduce a driver's ability sufficiently to cause an accident. Some drivers are unskilled in the operation of their vehicles, others are unaware of regulations or other information which might enable them to avoid accidents. Some drivers have unsafe attitudes which lead them to do things which cause accidents.

BMCS needs contract researchers to analyze the environmental factors which affect a driver. BMCS staff does not include experts on each of the environmental factors affecting a driver.

BMCS intends to address the problems of driver skill, knowledge and attitude through education. To this end BMCS has developed a model driver training curriculum. BMCS needs contract researchers to implement a demonstration of that curriculum to determine if it works, and to report on difficulties encountered. BMCS will also need contract researchers to measure the effectiveness of the training curricullum by tracking the performance of course graduates and comparing their performance to non-graduates.

HAZARDOUS_MATERIAL_MODAL_RESEARCH

BMCS has three main areas of concern in which it intends to conduct research with regard to hazardous material transportation. The first area of concern is the integrity of hazardous materials containers subject to corrosion. The second area of concern is performance and qualification of drivers of hazardous materials laden vehicles. The third area of concern is quantification of hazardous materials movements.

Hazardous materials are often corrosive, and, even when not corrosive, may be placed in containers subject to corrosion from the elements. Hazardous materials spills due to corrosion contribute to a significant number of non-collision spills, but are among the most important spills because large quantities of hazardous materials spill when tanks rupture compared to the quantities which spill when valves leak. BMCS cannot perform this research with its current staff because it has no resident corrosion engineers or material scientists. BMCS requires contract researchers to perform the necessary research.

Vehicles designed to carry hazardous materials are different from other vehicles. Hazardous material vehicles are often cargo tank vehicles. They have extra systems to advise the driver of the status of his cargo and to allow him to control, load or unload the cargo. Such vehicles therefore require a driver with more skill and training than would be needed for a vehicle hauling ordinary freight. There may be other skills and training which a driver may need before driving a load containing hazardous materials. BMCS needs the assistance of contract researchers to determine what training and qualifications should be required of drivers before they may haul hazardous materials.

BMCS needs information on the quantities and flows of hazardous materials moving in interstate motor carriage. This information will enable BMCS to allocate its resources better, and to identify accident rates that are higher than exposure would indicate. BMCS does not have access to a staff of industrial economists who are familiar with such freight movements. BMCS needs contract researchers to determine the feasibility of measuring hazardous material commodity flows, and to measure them if feasible. This information is also badly needed by the emergency response community for their training and planning activities. There are also frequent requests for this data from members of Congress, industry, associations and the general public.

STATE PROGRAMS, RESEARCH AND ASSESSMENT

The Surface Transportation Assistance Act of 1982 authorized the Department of Transportation to award grants for the development and implementation of state motor carrier safety programs. These programs can be managed only if sufficient accurate information is available to managers. Each state has a different system for gathering data. Some states do not gather information essential to operating an effective safety program.

BMCS has attempted to solve the problem of gathering data to manage the motor carrier safety programs by developing a nationwide Management Information System. The system is being developed as a series of modules. The first module recorded information on safety inspections of drivers and equipment. The second module records information on accidents. Another module will record information on safety audits, and may include a provision for assigning safety ratings to intrastate motor carriers.

Each module requires development of new software, and may require the acquisition of new hardware, in each state where the program is implemented. The least expensive technique is to develop existing state data bases. This is difficult because each state may use a different computer and software to record the data, and may record different data elements.

BMCS does not have staff experts in each computer and software package used by the various states, nor is its staff familiar with the intracacies of the data elements recorded by the various states. BMCS requires the assistance of contract researchers to develop the software and hardware packages that will best acheive its goals.

BMCS also has a need to enhance the performance of modules already in place. The modules were originally developed to handle only the data anticipated as a result of the Motor Carrier Assistance Program, but participating states have found the data developed through the modules so useful that they are planning to record all relevant state data using the modules. The result is that the modules must be modified and the hardware upgraded to handle a larger data base. BMCS requires the assistance of contract researchers to upgrade the existing systems.

Fiscal Year 87 **Program** MOTOR CARRIER SAFETY RESEARCH

Major Program Objective IMPROVED HIGHWAY SAFETY

Project Title

1. Regulatory Impact Assessment

Funding Levels

FY	Oblig ($000's)
Prior	600
85	206
86	498
87	200
88	250

Problem

- Recission or promulgation of regulations often result in economic impacts amounting to hundreds of millions of dollars.
- The motor carrier industry is very large and diverse in nature, making the regulatory evaluation and analysis process demanded by the Regulatory Flexibility Act and the Executive Order 12291 lengthy, highly technical, and difficult.
- Evaluations and analyses require sophisticated levels of expertise based on unique information not available within the Government.
- Sensitive regulatory issues often demand that research and/or analysis be conducted by an uninvolved party.

Objectives and General Approach

- Assess current and proposed regulations and revisions to the Federal Motor Carrier Safety Regulations and their likely consequences.
- Address the need, clarity and impact of the regulatory action by undertaking an assessment of available pertinent data and by developing new data as needed.
- Factors to be considered include establishing the need for the regulation, the cost impact on consumers, businesses, markets, or Federal, State and local Governments; effect on productivity of wage earners, on competition, or employment and on energy supply or demand.
- Benefits resulting from the proposed regulation must be weighed against any expected costs under alternative revisions to develop, for issuance, the least burdensome regulation.

Project Elements Planned for FY 87	Amount ($000's)
o Develop cost-benefit analysis data on current and/or proposed regulations particularly qualifications of drivers, transportation of hazardous materials and parts and accessories necessary for safe operation.	150
o Develop guidelines in determining motor carrier safety ratings.	50
Total	200

Benefits

- To ensure that regulations are effective and inexpensive. The number of commercial vehicle accidents, injuries, and fatalities on the Nation's highways can be reduced by reasonable and practical regulations which do not unnecessarily burden the motor carrier industry.

Accomplishments FY 84 **to Date**

- Minimum Level of Financial Responsibility, a major rule under EO 12291, required evaluation of elasticity of cost-price pass through to consumers.
- Motor carrier insurance docket validation and analysis for rulemaking in Minimum Financial Responsibility.
- Regulatory analysis and regulatory flexibility analysis for significant final rule on driver's logs.
- Bus accident societal costs for rulemaking on minimum financial responsibility.
- Paper trail cost audit for Inspection, Repair and Maintenance "major" rulemaking.
- Evaluation of safe havens and proposed guidelines for States.
- Costs associated with truck accidents.
- Profile of multiple bottom tractor trailer drivers.
- Final report on comparison of Federal/State regulations.
- Assessed penalties prior to and after the MCSA of 1984.

Accomplishments Planned for FY 87 **and Future**

- Continued assessment of current and proposed regulations as needed in concert with rulemaking actions undertaken. The overall assessment process would be similar to the accomplishments indicated above for each specific rulemaking action.

Form FHWA 707 (7-75)

Fiscal Year 87 **Program** MOTOR CARRIER SAFETY RESEARCH

Major Program Objective IMPROVED HIGHWAY SAFETY

Project Title

2. Vehicle and Component Integrity Analysis

Funding Levels

FY	Oblig ($000's)
Prior	650
85	150
86	0
87	250
88	300

Problem

- o Vehicles operating at high utilization in an enlarging traffic population continues to experience operational deficiencies and failures which directly or indirectly result in highway accidents.
- o Out-of-Service inspection rate for roadside inspection (1982) is 36.4% for freight-carrying vehicles and approximately 9% for passenger type.
- o Brake deficiencies are responsible for 36.3% of all motor carrier accidents involving mechanical failure.

Objectives and General Approach

- o Identify critical areas in which commerical vehicles or integral components may result in accidents adversely affecting crashworthiness.
- o Investigate areas by structural examination, testing, computer and/or analytical simulation to predict optimum functional performance and collision behavior.
- o Develop potential solutions to identified problems.
- o Coordinate with NHTSA on research of mutual interest.

Project Elements Planned for FY 87	Amount ($000's)
o Conduct research on the use of after-market parts.	60
o Conduct research on bumper heights.	25
o Cargo securement.	30
o Handholds on conventional tractors.	60
o Joining of articulated vehicles (fifth wheel).	45
o Vehicle information systems.	30
Total	250

Benefits

- o Operational analysis of mechanical defects permits development of engineering countermeasures.
- o Refined integral components provide increased safety of operation.
- o Human factors compatible integration of components.

Accomplishments FY 84 **to Date**

- o ANPRM with appropriate revision, applicable to MC 305** type tanks has been issued.
- o Analyzed the roll stability of various vehicle types.
- o Report on brake performance tests on large commerical vehicles.
- o Established Out-of-Service Criteria for measuring push rod travel on equipment using air brake systems.

**MC 305 type cargo tanks: A specification cargo tank designed to contain flammable liquids.

- o Analyzed 49 CFR Part 393 for updating.
- o Report on use of wider vehicles (102") with 96" axle tire track.

Accomplishments Planned for FY 87 **and Future**

- o Preliminary results on review of 49 CFR Part 393.
- o Report on use of after market parts.
- o Preliminary report on the analysis on various sections of 49 CFR Part 393.

Form FHWA PGF (7-72)

Fiscal Year 86 **Program** MOTOR CARRIER SAFETY RESEARCH

Project Title

3. Driver Performance and Accident Analysis

Funding Levels

FY	Oblig. ($000's)
Prior	1320
85	406
86	19
87	700
88	500

Problem

- o Interstate truck and bus accidents cost the Nation approximately $365 million a year.
- o In excess of 65% of all commerical motor vehicle accidents are preventable by the drivers.
- o Medical impairments are an impediment to the safe operation of commerical motor vehicles and certain impairments increase the risk of accidents.
- o The dividing line between drivers who are and are not medically impaired is constantly changing.
- o The Bureau must have ability to apply medical advancements to industry requirements, specifically the driving tasks.

Objectives and General Approach

- o Identify medical conditions which preclude drivers from operating commerical motor vehicles safely.
- o Reduce the burden of those standards which can be proven to be too strigent.
- o Perform research of new medical findings under the supervision of experts in the medical profession and update existing medical standards.
- o In-depth analysis of accidents to confirm suspected trends, to identify causes, and to understand the interrelationships between them.
- o Special studies of any significant relationships discovered in the accident analysis.
- o Validate the National Tractor-Trailer Driver Training Standard and Sample Model Curriculum.

Project Elements Planned for FY 87	Amount ($000's)
o Validate the driver training curriculum.	300
o Conduct a drug concensus symposium.	100
o Conduct an interchange on diabetes with respect to heavy duty truck drivers.	100
o Continue research in the area of vision (binocular/monocular drivers).	100
o Conduct feasibility study on diseases associated with operating heavy duty trucks.	100
Total	700

Major Program Objective IMPROVED HIGHWAY SAFETY

Benefits

- o Identify physical and mental conditions that are an increased risk to safety of operations.
- o Review existing standards in light of the deregulation of the motor carrier industry.
- o Reduce the number of motor carrier accidents caused by driver error, due to inadequate skills and/or knowledge levels.
- o Reduce the incidence and severity of accidents.

Accomplishments FY 84 to Date

- o Establishment of decision matrix for disease(s) diagnosis and risk to operating vehicles.
- o Consensus guidelines for decision charts on hypertension, vision, and neuromuscular disorders.
- o Develop methodology for minimum cost validation of tractor trailer driver training standard and sample model curriculum.
- o Preliminary evaluation of preventable accidents and their causes.
- o Final report on Voluntary Employee Injury/Illness Reporting System (VEIIRS).
- o Final report on countermeasures for preventable accidents.
- o Developed two safety oriented films on commerical motor vehicle braking and rollovers.
- o Develop document for state-of-the-knowledge about cardiac disorders.

Accomplishments Planned for FY 87 and Future

- o Determine what regulatory needs should be addressed in the area of employee safety and health.
- o Progress in the driver training validation program.

Form FHWA 707 (7-75)

Fiscal Year 86 **Program** MOTOR CARRIER SAFETY RESEARCH

Project Title

4. Hazardous Materials Model Research

Funding Levels

FY	Oblig. ($000's)
Prior	560
85	200
86	0
87	400
88	400

Problem

- o It is estimated that in excess of 15 billion gallons of hazardous liquid commodities are moved annually.
- o Cargo tanks are the prime mover of liquid hazardous materials by highway.
- o Cargo tank movements of hazardous materials present the greatest risk of catastrophic hazardous material incidents.

Objectives and General Approach

- o Utilize the resources of the HMIS, the BMCS Management Information System, and other Government or private systems, to identify problems in the transportation of hazardous materials by highway on which to base rulemaking activities that will reduce accident losses and provide information which will facilitate cost-beneficial direction of resources in regulatory enforcement activities.
- o The focus in problem identification will be analysis of systems to safeguard against spillage of hazardous cargo when transported in bulk quantities.
- o Examine categorically for bulk transporters, cargo tank, etc., existing regulations, repair procedures, maintenance practices, operating procedures to identify causal factors contributing to accidents/incidents.

Project Elements Planned for FY 87	Amount ($000's)
o Study optional materials for construction of MC 306 type cargo tank.	100
o Based on results of FY 85 Feasibility Study, quantify hazardous material movement throughout the U.S. and its territories.	300
Total	400

Major Program Objective IMPROVED HIGHWAY SAFETY

Benefits

- o Provide for systematic evaluation and analysis of problems related to the safe transportation of hazardous materials on which to base efficacious rulemaking to reduce accident potential and most effectively direct resources for regulatory enforcement. Reduction of risks associated with hazardous materials movement.
- o Ensuring that cargo tank vehicles in use will not spontaneously rupture.
- o Reduction of rish in bulk transport of hazardous materials via highway.

Accomplishments FY 84 **to Date**

- o Identification of cargo loss and other problem areas existing in MC 331 type cargo tanks.
- o Development of standard exemptions for hazardous waste vacuum cargo tanks
- o Development of standard exemptions for Oil and Gas Well Treatment Tanks.
- o Evaluation of regulatory requirements and stress loads imposed on MC 330/331 cargo tanks.
- o Preliminary results on the feasibility of quantifying hazardous material movement.
- o Evaluation of industry practice with regard to the corrosion integrity of various type cargo tanks.

Accomplishments Planned for FY 87 **and Future**

- o Develop countermeasures to address deficiencies found in MC 330, 331, 307 and 312 cargo tanks.
- o Identify cargo tank design deficiencies for MC 305, 306 cargo tanks as they relate to stress-induced failures.
- o Based on information developed in research, rewrite 178, 177, 173 - 49 CFR Transportation Parts 100-177 and 178-199.
- * MC 330/331 type cargo tanks are designed to contain compressed liquefied gases.
- * MC 307/312 type cargo tanks are designed to contain poisons and corrosive materials, respectively.
- * MC 306 type cargo tanks are designed to transport flammable liquids.

Form FHWA 707 (7-75)

Fiscal Year 86 **Program** MOTOR CARRIER SAFETY RESEARCH

Project Title

5. State Programs Research and Assessment

Funding Levels

FY	Oblig. ($000's)
Prior	0
85	200
86	195
87	350
88	400

Problem

- o The Surface Transportation Assistance Act of 1982 authorized the Department of Transportation to award grants to States for the purpose of developing or implementing programs for the enforcement of Federal and compatible State Motor Carrier Safety Regulations. While significant research concerning State participation, conditions and eligibility was conducted prior to legislative action, considerable detailed assessments of specific elements of the program (automated data storage and analysis, feasibility of operational methodologies, engineering support, etc.) are needed to enhance program effectiveness.

Objectives and General Approach

- o Determine the most practical, effective and efficient procedures, methodologies, systems and subsystems (with necessary equipment) for each State by assessing each State's capabilities with regard to National motor carrier safety objectives.
- o Conduct evaluations of the essential elements of the safety programs considering all pertinent factors.
- o Maintain capability to resolve technical inconsistencies in a timely manner.

Project Elements Planned for FY 87	Amount ($000's)
o Effectiveness/Refinement of the integrated, multiple State roadside inspection reporting system.	100
o Human factors and engineering evaluation of roadside inspection reports.	100
o Development of ancillary operational data element for the Safety Net Management Information System.	150
Total	350

Major Program Objective IMPROVED HIGHWAY SAFETY

Benefits

- o The ability of States to effectively design commerical motor carrier safety program needs with optimum results considering all factors:
  - (1) The safety deficiencies of the State;
  - (2) The States' planned and possible countermeasures;
  - (3) The safety deficiencies and possible countermeasures of neighboring States;
  - (4) National safety deficiencies;
  - (5) National goals;
  - (6) Cost efficiency;

Accomplishments FY 84 **to Date**

- o Completion of study entitled "Analysis and Documentation of a Federal/State Management Information System on Motor Carrier Data."
- o Established evaluation plan and software methodology for analyzing MCSAP data.
- o Designed developed, tested, and documented State implementation of Federal/State management information system.

Accomplishments Planned for FY 87 **and Future**

- o Study results permitting integration of basic multiple State operation of roadside inspections system.
- o Assessment of multiple integrated State roadside inspection systems for effectiveness and efficiency.

Form FHWA 707 (7-75)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY
(HIGHWAY TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 69-8056-0-7-401	FY 1985	FY 1986	FY 1987
Program by Activities			
1 Operations			17,615
2 Research and Development			1,900
10 00 Total obligations			19,515
Financing			
40 00 Budget authority			19,515

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY
(HIGHWAY TRUST FUND)

Program and Financing (in thousands of dollars)

idenification code 69-8056-0-7-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays			
71.00 Obligations incurred, net			19,515
74.40 Obligated balance, end of year			-2,401
90.00 Outlays			17,114

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Object Classification (in thousands of dollars)

Idenification code 69-8050-0-7-401	FY 1985	FY 1986	FY 1987
Personnel Compensation			
11.1 Full-time permanent			12,907
11.3 Other than full-time permanen			132
11.5 Other personnel compensation			174
11.9 Total personnel compensation			13,213
12.1 Personnel benefits: Civilian			1,713
21.0 Travel and transportation of persons			1,583
22.0 Transportation of things			116
23.2 Communication, utilities, and other rent			21
24.0 Printing and reproduction			1
25.0 Other services			2,706
26.0 Supplies and materials			70
31.0 Equipment			92
99.0 Total obligations			19,515

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Personnel Summary

idenification code: 69-8056-0-7-401	FY 1985	FY 1986	FY 1987
Total number of full-time permanent positions..........	...	..	433
Total compensable workyears:			
Full-time equivalent employment.	..	...	401
Full-time equivalent of overtime and holiday hours..........	...	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY SAFETY RESEARCH AND DEVELOPMENT

For necessary expenses in carrying out provisions of sections 307(a) and 403 of title 23, United States Code, to be derived from the Highway Trust Fund and to remain available until expended [$8,500,000] $7,000,000. (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190; additional authorizing legislation to be proposed.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY SAFETY RESEARCH AND DEVELOPMENT

Funds appropriated for this program are transferred to and administered through the Limitation on General Operating Expenses. The narrative justification for Highway Safety Research and Development is therefore contained in the Contract and Other No-Year Programs section under Limitation on General Operating Expenses.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY SAFETY RESEARCH AND DEVELOPMENT

REDUCTION PURSUANT TO PUBLIC LAW 99-177

Program and Financing (in thousands of dollars)

Identification code 69-8017-0-7-401	FY 1985	FY 1986	FY 1987
Program by Activities			
10.00 Total obligations (object class 25.0)		-346	
Financing			
40.00 Budget authority (appropriation)		-346	
Relation of obligations to outlays			
71.00 Obligations incurred, net		-346	
72.40 Obligated balance, start of year			-298
74.40 Obligated balance, end of year		298	176
90.00 Outlays		-48	-122

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY SAFETY RESEARCH AND DEVELOPMENT

Program and Financing (in thousands of dollars)

Identification code 69-8017-0-7-401	FY 1985	FY 1986	FY 1987
Program by activities:			
10.00 Total obligations (object class 25.2)	[illegible]	[illegible]	[illegible]
Financing:			
21.40 Unobligated balance available, start of year	[illegible]	[illegible]	
22.40 Unobligated balance transferred to other accounts	[illegible]	[illegible]	
24.40 Unobligated balance available, end of year	[illegible]		
40.00 Budget authority (appropriation)	[illegible]	[illegible]	[illegible]
Relation of obligations to outlays:			
71.00 Obligations incurred, net	[illegible]	[illegible]	[illegible]
72.40 Obligated balance, start of year	[illegible]	[illegible]	[illegible]
74.40 Obligated balance, end of year	[illegible]	[illegible]	[illegible]
90.00 Outlays	[illegible]	[illegible]	[illegible]

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[EXPRESSWAY GAP CLOSING DEMONSTRATION]

[For necessary expenses to carry out a highway construction project along State Route 113 in north-central California that demonstrates methods of reducing motor vehicle congestion and increasing employment there is authorized to be appropriated $23,500,000, to remain available until expended, of which $9,000,000 is hereby appropriated: Provided, That such funds shall be exempt from any limitation on obligations for Federal-aid highways and highway safety construction programs.] (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

EXPRESSWAY GAP CLOSING DEMONSTRATION PROJECT-CALIFORNIA

The 1986 DOT Appropriations Act authorized $23.5 million for this project and appropriated $9 million for it (reduced to $8.6 million by P.L. 99-177). The project is to demonstrate methods of reducing motor vehicle congestion and increasing employment. The project is 4.3 miles of State Route 113 between I-80 and I-5 just west of Sacramento. The project will consist of constructing a freeway on new location including an interchange.

The $9 million appropriated could be used for design, grading, drainage, and structures with physical construction possibly beginning in F.Y. 1987.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
EXPRESSWAY GAP CLOSING DEMONSTRATION

Program and Financing (in thousands of dollars)

Identification code 69-0501-0-1-401	FY 1985	FY 1986	FY 1987
Program by Activities			
10.00 Total obligations		9,000	...
Financing			
40.00 Budget authority (appropriation)	...	9,000	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	...	9,000	...
72.40 Obligated balance, beginning of year	...	...	7,200
74.40 Obligated balance,end of year	...	-7,200	-4,320
90.00 Outlays	...	1,800	2,880

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Enacted/requested			
Budget authority	...	9,000	...
Outlays	...	1,800	2,880
Reduction pursuant to P.L. 99-177:			
Budget authority	...	-387	...
Outlays	...	-71	-130
Total			
Budget authority	...	8,613	...
Outlays	...	1,729	2,750

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Expressway Gap Closing Demonstration).

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177), and applicability provision of the Department of Transportation Appropriations Act of FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or $387,000 from the FY 1986 appropriation. It is estimated that this will reduce outlays by $71,000 in FY 1986 and $130,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the planned reductions will take place on March 1, 1986, unless altered by an act of Congress. The program and financing schedules which follow give financial detail on this account.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
EXPRESSWAY GAP CLOSING DEMONSTRATION
PURSUANT TO PUBLIC LAW 99-177

Program and Financing (in thousands of dollars)

Identification code 69-0501-6-1-401	FY 1985	FY 1986	FY 1987
Program by Activities			
10.00 Expressway Gap Closing (object class 41.0)	...	-387	...
Financing			
40.00 Budget authority (appropriation)		-387	...
Relation of obligations to outlays			
71.00 Obligations incurred, net	...	-387	...
72.40 Obligated balance, beginning of year	...	...	-316
74.40 Obligated balance, end of year	...	316	186
90.00 Outlays		-71	-130

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY-RELATED SAFETY GRANTS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

For payment of obligations incurred in carrying out the provisions of title 23, United States Code, section 402 administered by the Federal Highway Administration, to remain available until expended, [$9,000,000] $12,000,000, to be derived from the Highway Trust Fund: Provided, that not to exceed $100,000 of the amount appropriated herein shall be available for "Limitation on general operating expenses." Provided further, That none of the funds in this Act shall be available for the planning or execution of programs, the obligations for which are in excess of $10,000,000 in fiscal year [1986] 1987 for "Highway-related safety grants." (Department Transportation and Related Agencies Appropriation Act, 1986, as included in Pubic Law 99-190; additional authorizing legislation to be proposed.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY-RELATED SAFETY GRANTS

General Description

Section 402 of Title 23 authorizes funds to assist States, localities, Indian Tribes and the Territories of American Samoa, Guam, the Virgin Islands, and the Northern Marianas in implementing highway standards and safety programs in accordance with the highway safety program. There are 18 standards, 3 1/2 of which are the full responsibility of the FHWA. Rulemaking in 1982 identified six priority program areas as the most effective for Federal funding under Section 402. The most effective FHWA program area is safety construction and operational improvements. (principally covering activities directly supporting the selection and implementation of highway safety projects).

Objectives

The program is intended to strengthen State and local highway safety programs, and to help guide and finance additional action at the State and local levels. The Federal role is to provide leadership, guidance, and financial aid to assist State and local governments in initiating new highway safety activities and in improving on-going safety programs. Emphasis is placed on activities to help State and local highway agencies develop and implement systems and procedures for planning and carrying out safety construction and operational improvements.

Accomplishments

The highway-related FHWA portion of the Section 402 program serves as a significant planning resource and catalyst for State and local safety efforts. Funded activities such as improved safety data collection and programming systems, special problem studies and analyses, training and technical guides, and equipment advances have done much to improve roadway safety problem identification and selection. In the process, interaction with vehicle-and driver-directed safety programs have been improved and a needed emphasis given local problems such as traffic operations and pedestrians.

Maintaining and increasing this capability will be even more important in the future. Highway safety issues currently facing States, such as large truck safety and alcohol involvement, increasingly require cooperative and interactive programs involving driver and vehicle as well as roadway countermeasures.

Recommended Program

The legislation recommends $10 million annually in authorizations, obligation limitation, and program level for this program during the four Fiscal Years 1987-90.

This increase in funding is requested for State and local highway agencies to (1) maintain and improve their hazard identification and priority programing procedures initiated under our existing safety construction program; (2) increase their capability to identify and respond to emerging roadway safety problems and needs; and (3) develop highway safety programs and solutions in keeping with the extent to which the roadway is responsible for the total highway safety problem. The capabilities are necessary to assure that roadway safety improvements (construction, operational, or otherwise) receive equal consideration in relation to other types of highway safety initiatives affecting the driver or motor vehicle, whether they are implemented with Federal, State or local funds.

Experience has shown that the money provided under Section 402 has been instrumental in encouraging State and local governments to use their own funds to improve safety on local roads.

HIGHWAY RELATED SAFETY GRANTS
APPROPRIATION REQUEST

The FY 1986 Appropriation Act included $9.0 million to liquidate obligations incurred under contract authority. In FY 1987, a liquidating cash appropriation of $12.0 million is requested to liquidate obligations incurred against contract authority. The following tables reflect outlays, liquidating cash and available authority for this program:

OUTLAYS AND LIQUIDATING CASH	AMOUNT (in thousands
Cash balance, 9/30/83	13,656
F.Y. 1984 Appropriation	9,738
Less: F.Y. 1984 outlays	(12,169)
Cash balance, 9/30/84	11,225
F.Y. 1985 appropriation	5,000
Less: F.Y. 1985 Outlays	(11,548)
Cash balance, 9/30/85	4,677
F.Y 1986 Appropriation	9,000
Less: F.Y. 1986 outlays (est)	(9,791)
Less: Gramm Rudman outlay reduction est)	86
Cash balance, 9/30/86 (est)	3,972
F.Y. 1987 Appropriation	12,000
Less: F.Y. 1987 outlays(est)	(11,044)
Less: Gramm Rudman outlay reduction(est)	138
Cash balance, 9/30/87 (est)	5,066
AUTHORIZATIONS AND OBLIGATIONS	
Unobligated authority, 9/30/83	...
F.Y. 1984 Authority(P.L. 97-424)	9802
Less: F.Y. 1984 obligations	-9802
Unobligated authority, 9/30/84	0
F.Y. 1985 Authority(P.L. 97-424)	9802
Less: F.Y. 1985 obligations	-9802
Unobligated authority, 9/30/85	0
F.Y. 1986 Authority(P.L. 97-424)	10000
Less: Gramm Rudman reduction in Authority	-430
Less: F.Y. 1986 obligations (est)	-10000
Less: Gramm-Rudman obligation reductions	430
Unobligated authority, 9/30/86 (est)	0
F.Y. 1987 Authority	10000
Less: F.Y. 1987 obligations (est)	-10000
Unobligated authority, 9/30/87 (est)	0

NOTE: () signifies a minus entry.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY RELATED SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Program and Financing (in thousands of dollars)

idenification code: 69-8019-0-7-401	FY 1985	FY 1986	FY 1987
Program by Activities			
1. State and community grants	9,900	9,900	9,900
2. Administration of grants programs	100	100	100
10.00 Total obligations	10,000	10,000	10,000
39.00 Budget authority	10,000	10,000	10,000
Budget Authority:			
Current:			
40.00 Appropriation	5,000	9,000	12,000
40.49 Portion applied to liquidate contract authority	-5,000	-9,000	-12,000
43.00 Appropriation(adjusted)	...	...	...
49.10 Contract authority	...	...	10,000
Permanent:			
69.10 Contract authority (90 Stat. 451, 92 Stat. 2727) (definite)	10,000	10,000	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY RELATED SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Program and Financing (in thousands of dollars)

idenification code: 69-8019-0-7-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays:			
71.00 Obligations incurred, net....	10,000	10,000	10,000
Obligated balance, start of year:			
72.40 Appropriation....	11,224	4,677	3,886
72.49 Contract authority....	9,802	14,802	15,802
Obligated balance, end of year:			
74.40 Appropriation....	-4,677	-3,886	-4,842
74.49 Contract authority....	-14,802	-15,802	-13,802
90.00 Outlays....	11,548	9,791	11,044

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Enacted/requested			
Budget authority....	10,000	10,000	10,000
Outlays....	11,548	9,791	11,044
Reduction pursuant to P.L. 99-177:			
Budget authority....	...	-430	...
Outlays....	...	-86	-138
Total			
Budget authority....	10,000	9,570	10,000
Outlays....	11,548	9,705	10,906

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY RELATED SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Program and Financing (in thousands of dollars)

idenification code 69-8019-0-7-401	FY 1985	FY 1986	FY 1987
Status of Unfunded Contract Authority			
Unfunded balance, start of year	9,802	14,802	15,802
Contract authority	10,000	10,000	10,000
Appropriation to liquidate contract authority	-5,000	-9,000	-12,000
Unfunded balance, end of year	14,802	15,802	13,802
25.00 Other services	100	100	100
41.00 Grants, subsidies, and contributions	9,900	9,900	9,900
99.00 Total obligations	10,000	10,000	10,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Highway-Related Safety Grants].

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177), and applicability provision of the Department of Transportation Appropriations Act of FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or $430,000 from the FY 1986 appropriation. It is estimated that this will reduce outlays by $86,000 in FY 1986 and $138,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the planned reductions will take place on March 1, 1986, unless altered by an act of Congress. The program and financing schedules which follow give financial detail on this account.

[illegible]

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
[illegible]
[illegible]
[illegible]

Program and Financing (in thousands of dollars)

Identification code [illegible]	FY 1985	FY 1986	FY 1987
Program by activities:			
[illegible] Total obligations		[illegible]	
[illegible] Budget authority [illegible]		[illegible]	
Relation of obligations to outlays:			
[illegible] Obligations incurred, net		[illegible]	
Obligated balance, start of year:			
[illegible] Appropriation			[illegible]
[illegible] Contract authority			[illegible]
Obligated balance, end of year:			
[illegible] Appropriation		[illegible]	[illegible]
[illegible] Contract authority		[illegible]	[illegible]
[illegible] Outlays		[illegible]	[illegible]

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS]

[For necessary expenses of certain railroad-highway crossings demonstration projects, as authorized by section 163, of the Federal-Aid Highway Act of 1973 as amended, to remain available until expended, $16,000,000, of which $10,666,667 shall be derived from the Highway Trust Fund.] (Department of Transportation and Related Agencies Appropriation Act, 1987, as included in Public Law 99-500.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS

GENERAL STATEMENT

The Federal-Aid Highway Act of 1973 (PL 93-87), Section 163, authorized a total of $90 million through F.Y. 1976 for demonstration projects for the elimination or protection of certain public ground-level rail-highway crossings in 12 cities throughout the United States. Since then, amendments contained in the Federal-Aid Highway Amendments of 1974 (PL 93-305), Department of Transportation Appropriation Act of 1975 (PL 94-391), the Federal-Aid Highway Act of 1976 (PL 95-280), the Surface Transportation Assistance Act of 1978 (PL 95-599), and the Surface Transportation Assistance Act of 1982 (PL 97-424) have increased the total amount authorized to $761.6 million, and the number of demonstration projects to 19. Currently, 18 projects are participating in this program since Sherman, Texas, has withdrawn. To date, $186.6 million has been appropriated. The total estimated Federal share of the cost for this program is about 820 million

Most of the demonstration projects involve extensive relocation and consolidation of railroad tracks within an urban area. The purpose is to eliminate relatively large numbers of railroad-highway grade crossings and also to alleviate the community conflict caused by railroad facilities located in business and residential areas of the city.

The planned program level in F.Y. 1986 and F.Y. 1987 will utilize the 1986 appropriation of $16.0 million (less Gramm-Rudman reductions) together with all unobligated balances of appropriated funds which will allow for completion of preliminary engineering on most projects as well as construction of usable segments on several other projects.

No F.Y. 1987 funding is proposed for this program because most activities funded by this account are eligible for funding under the regular Federal-aid highway program.

RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS
(Estimated Obligations for FY 1986 and FY 1987
(All amounts showns in thousands of dollars)

	Obligated Thru FY 85	Estimated Obligations For FY 86	Estimated Obligations for FY 1987
Elko, Nevada	41,474	368	688
Lincoln, Nebraska	12,579	...	2,871
Wheeling, West Virginia	96	...	504
Blue Island, Illinois	230	...	...
Carbondale, Illinois	21,804	...	2,871
Dolton, Illinois	585	...	...
E. St. Louis, Illinois	6,492	2,169	...
Springfield, Illinois	7,994	...	5,225
New Albany, Indiana	2,326	...	...
Anoka, Minnesota	2,901	13	...
Brownsville, Texas--Matamoros, Mexico	5,670	...	2,392
Greenville, Texas	4,583	4,917	...
Lafayette, Indiana	7,888	6,912	5,264
Hammond, Indiana	10,145	...	4,225
Metairie, Louisiana	1,202	500	...
Augusta, Georgia	1,232	4,840	957
Pine Bluff, Arkansas	2,156	4,500	957
Sherman, Texas	Withdrew------------------------------------		
Terre Haute, Indiana	5,437	93	1,470
	134,794	24,312	27,424

RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS

SUMMARY OF REQUIREMENTS

	Amount ($ 000's)		
	General Funds	Trust Funds	Total
Unobligated balance 9/30/79.........	19,399	38,599	57,998
Add: F.Y. 1980 appropriation........	6,667	13,333	20,000
Balance available for F.Y. 1980...	26,066	51,932	77,998
Less: F.Y. 1980 obligations.........	-6,311	-12,622	-18,933
Unobligated balance 9/30/80.......	19,755	39,310	59,065
Less: F.Y. 1981 obligations	-8,573	-17,190	-25,763
Unobligated balance 9/30/81.......	11,182	22,120	33,302
Add: F.Y. 1982 appropriation........	7,668	9,667	17,335
Balance available for F.Y. 1982...	18,850	31,787	50,637
Less: F.Y. 1982 obligations.........	-3,574	-7,150	-10,724
Unobligated balance 9/30/82.......	15,276	24,637	39,913
Less: F.Y. 1983 obligations.........	-6,944	-13,889	-20,833
Unobligated balance 9/30/83.......	8,332	10,748	19,080
Add: F.Y. 1984 appropriations.......	5,000	10,000	15,000
Balance available for F.Y. 1984...	13,332	20,748	34,080
Less: F.Y. 1984 obligations.........	-6,597	-7,500	-14,097
Unobligated balance 9/30/84.......	6,735	13,248	19,983
Add: F.Y. 1985 appropriations.......	9,880	19,760	29,640
Balance available for F.Y. 1985...	16,615	33,008	49,623
Less: F.Y. 1985 obligations.........	-4,400	-8,800	-13,200
Unobligated balance 9/30/85.......	12,215	24,208	36,423
Add: FY 1986 appropriations.........	5,333	10,667	16,000
Less: FY 1986 appropriation reduction, P.L. 99-177.............	-229	-459	-688
Balance available for FY 1986.....	17,319	34,416	51,735
Less: FY 1986 obligations:..........	-8,400	-16,600	-25,000
Less: FY 1986 obligation reduction, P.L.. 99-177......................	+229	+459	+688
Unobligated balance 9/30/86 (est.)	9,148	18,276	27,424

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS

Program and Financing (in thousands of dollars)

Identification code: 69-0557-0-1-401	FY 1985	FY 1986	FY 1987
Program by Activities:			
1. Direct program	4,400	8,400	9,148
2. Reimbursable program	8,800	16,600	18,276
10.00 Total obligations	13,199	25,000	27,424
Financing:			
13.00 Offsetting collections from: Trust Funds	-8,800	-16,600	-18,276
21.40 Unobligated balance available, start of year	-6,735	-12,215	-9,148
24.20 Unobligated balance available, end of year	12,215	9,148	...
40.00 Budget authority (appropriation)	9,880	5,333	...
Relation of obligations to outlays			
71.00 Obligations incurred, net	4,400	8,400	9,148
72.40 Obligated balance, start of year	9,624	10,135	12,801
74.40 Obligated balance, end of year	-10,135	-12,801	-14,391
90.00 Outlays	3,890	5,734	7,558

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Enacted/requested			
Budget authority	9,880	5,333	...
Outlays	3,890	5,734	7,558
Reduction pursuant to P.L. 99-177:			
Budget authority	...	-229	...
Outlays	...	-34	-85
Total			
Budget authority	9,880	5,104	...
Outlays	3,890	5,700	7,473

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RAILROAD HIGHWAY CROSSING DEMONSTRATION PROJECTS

The effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on appropriation earmarkings.

City	Conference Report Earmarking	P.L. 99-177 Reduction	REVISED EARMARKINGS
Lincoln, Nebraska	1,000,000	(43,000)	957,000
Pine Bluff, Arkansas	333,333	(14,333)	319,000
Augusta, Georgia	333,333	(14,333)	319,000
Carbondale, Illinois	1,000,000	(43,000)	957,000
Brownsville, Texas	833,334	(35,834)	797,500
Lafayette, Indiana	1,833,000	(78,500)	1,754,500
	5,333,000	(229,000)	5,104,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS
REDUCTION PURSUANT TO PUBLIC LAW 99-177

Program and Financing (in thousands of dollars)

Identification code 69-0557-6-1-401	FY 1985	FY 1986	FY 1987
10.00 Total obligations	...	-229	...
Financing			
40.00 Budget authority (appropriation)		-229	...
Relation of obligations to outlays			
71.00 Obligations incurred, net		-229	...
72.40 Obligated balance, start of year		...	-195
74.40 Obligated balance, end of year		195	110
90.00 Outlays		-34	-85

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

ACCESS HIGHWAYS TO PUBLIC RECREATION AREAS ON CERTAIN LAKES

[INCLUDING TRANSFER OF FUNDS]

[For necessary expenses of certain access highway projects, as authorized by section 155, title 23, U.S.C., to remain available until expended $10,000,000, of which $5,000,000 shall be derived from unobligated balances of "Research, training, and human resources".] (Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

ACCESS HIGHWAYS TO PUBLIC RECREATIONAL AREAS ON CERTAIN LAKES

GENERAL STATEMENT

Section 155 of title 23 authorizes the Secretary of Transportation to construct or reconstruct access highways to public recreation areas on certain lakes. Such lakes are those bodies of water resulting from construction by various Federal agencies.

Since this program's inception in F.Y. 1976, funds have been authorized for each fiscal year through F.Y.1982. No separate authorizations exist for F.Y. 1987. The Surface Transportation Assistance Act of 1982 (P.L. 97-424) did not provide separate categorical funding for this program instead, it authorized the use of regular Federal-aid system funds with a Federal share of 95% to continue this program. Therefore, no further separate appropriations are requested for this program.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
ACCESS HIGHWAYS TO PUBLIC RECREATION AREAS ON CERTAIN LAKES

Program and Financing (in thousands of dollars)

Identification code 69-0503-0-1-401	FY 1985	FY 1986	FY 1987
Program by Activities:			
10.00 Access highways to public recreation areas on certain lakes (object class 41.0)	9,246	12,438	...
Financing:			
21.40 Unobligated balance available, start of year	-6,684	-2,438	...
22.40 Unobligated balance transferred, net		-5,000	
24.40 Unobligated balance available, end of year	2,438	...	...
39.00 Budget authority (appropriation)	5,000	5,000	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
ACCESS HIGHWAYS TO PUBLIC RECREATION AREAS
ON CERTAIN LAKES

Program and Financing (in thousands of dollars)

Identification code 69-0503-0-1-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays			
71 00 Obligations incurred, net	9,246	12,438	
72 40 Obligated balance, start of year	14,165	19,277	21,517
72 40 Obligated balance, end of year	-19,277	-21,517	-11,754
90 00 Outlays	4,133	10,199	9,763

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Enacted/requested			
Budget authority	5,000	5,000	
Outlays	4,133	10,199	9,763
Reduction pursuant to P.L. 99-177			
Budget authority		-215	
Outlays		-39	-73
Total			
Budget authority	5,000	4,785	
Outlays	4,133	10,160	9,690

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Access Highways to ... Certain Lakes.

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177), and applicability provision of the Department of Transportation Appropriations Act of FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or $275,000 from the FY 1986 appropriation. It is estimated that this will reduce outlays by $19,000 in FY 1986 and $73,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the planned reductions will take place on March 1, 1986, unless altered by an act of Congress. The program and financing schedules which follow give financial detail on this account.

[illegible]

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
[illegible]
[illegible]

[illegible]

Program and Financing (in thousands of dollars)

Identification code [illegible]	FY [illegible]	FY [illegible]	FY [illegible]
Program by activities:			
00 91 Total obligations		[illegible]	
Financing:			
40 00 Budget authority (appropriation)		[illegible]	
Relation of obligations to outlays:			
71 00 Obligations incurred, net		[illegible]	
72 40 Obligated balance, start of year			[illegible]
74 40 Obligated balance, end of year		[illegible]	[illegible]
90 00 Outlays		[illegible]	[illegible]

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[WASTE ISOLATION PILOT PROJECT ROADS]

[For necessary expenses in connection with the upgrading of certain highways for the transportation of nuclear waste generated during [illegible] activities, not otherwise provided for, $[illegible], to remain available until expended.] (Department of Transportation and Related Agencies Appropriation Act, 1988, as included in Public Law 100-202.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

WASTE ISOLATION PILOT ROADS

GENERAL STATEMENT

This appropriation of $7.0 million (reduced to $6.7 million by P.L. 99-177) is for highway activities connected with the Waste Isolation Pilot Project in New Mexico. Certain highways in that State are being upgraded for the transportation of nuclear waste generated during defense-related activities. No appropriation for F.Y. 1987 is requested for this program.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Waste Isolation Pilot Project Roads).

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177), and applicability provision of the Department of Transportation Appropriations Act of FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or $301,000 from the FY 1986 appropriation. It is estimated that this will reduce outlays by $56,000 in FY 1986 and $100,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the planned reductions will take place on March 1, 1986, unless altered by an act of Congress. The program and financing schedules which follow give financial detail on this account.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
WASTE ISOLATION PILOT PROJECT ROADS

Program and Financing (in thousands of dollars)

Identification code 69-0562-0-1-401	FY 1985	FY 1986	FY 1987
Program by Activities			
10 00 Total obligations	12,123	11,277	
Financing			
21 40 Unobligated balances available, start of year		-4,277	
24 20 Unobligated balance available, end of year	4,277		
40 00 Budget authority (appropriation)	16,400	7,000	
Relation of obligations to outlays			
71 00 Obligations incurred, net	12,123	11,277	
72 40 Obligated balance, beginning of year	5,768	17,655	19,615
74 40 Obligated balance,end of year	-17,655	-19,615	-10,710
90 00 Outlays	235	9,318	8,905

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Enacted/requested			
Budget authority		9,000	
Outlays		1,800	2,880
Reduction pursuant to P.L. 99-177			
Budget authority		-387	
Outlays		-71	-130
Total			
Budget authority		8,613	
Outlays		1,729	2,750

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

For carrying out the provisions of title 23, United States Code, which are attributable to Federal-aid highways, including the National Scenic and Recreational Highway as authorized by 23, U.S.C. 148, not otherwise provided, including reimbursements for sums expended pursuant to the provisions of 23 U.S.C. 308, [$13,836,000,000] $13,036,000,000 or so much thereof as may be available in and derived from the Highway Trust Fund, to remain available until expended: Provided, That none of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of [12,420,000,0000] $12,420,000,0000 for Federal-aid highways and highway safety construction programs for fiscal year 1986, 1987, except that this limitation shall not apply to obligations for emergency relief under section 125 of title 23, United States Code, obligations under section 157 of title 23, United States Code, projects covered under section 147 of the Surface Transportation Assistance Act of 1978, section 9 of the Federal-Aid Highway Act of 1981, subsections 131 (b) and (j) of Public Law 97-424, section 118 of the National Visitors Center Facilities Act of 1968, or section 320 of title 23, United States Code. (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190; additional authorizing legislation to be proposed.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

GENERAL STATEMENT

This appropriation account comprises the majority of all federally-aided programs through which the States are financially and technically aided to continue a highway system that meets the transportation needs of the Nation in terms of mobility, capacity and safety.

The Surface Transportation Assistance Act (STAA) of 1982 (P.L. 97-424) provided contract authority for fiscal years (FY) 1983 through 1986. Legislation, referred to as the Surface Transportation Reauthorization Act (STRA) of 1986, containing authorizations for FY 1987 through FY 1990, was proposed by the Administration at the time of the release of the FY 1987 Budget.

All programs included within the Federal-aid account will be financed from the Highway Trust Fund and dollar authorizations in the form of contract authority are enacted through substantive legislation. These authorizations are apportioned and/or allocated to the States and, as a general rule, remain available for obligation over a 4-year period. Liquidating cash appropriations are subsequently requested to fund outlays resulting from obligations incurred under contract authority.

The FY 1987 budget authority would be $12.770 billion based on the proposed STRA of 1986. This is compared to $14.684 billion in FY 1986 and $14.908 billion in FY 1985.

The FY 1987 budget estimates a total obligation level of $12.770 billion for this account which compares with a projected $13.357 billion obligation level in FY 1986 and $14.055 billion in FY 1985. The basis for the total FY 1987 authority (of which the account is by far the largest part) is to equate the total authority to the average revenues estimated to be paid into the Highway Trust Fund over the proposed life of the bill. The table below provides a comparison of the estimated obligations by program in fiscal years 1985, 1986, and 1987 for which a narrative explanation is included elsewhere in this budget justification. A general provision limiting overall obligations to $12.420 billion, exempting Emergency Relief and Minimum Apportionment, is proposed for FY 1987. Although the table reflects an estimated distribution of obligations by program category, it in no way proposes a limitation on obligations by such categories.

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FEDERAL-AID HIGHWAYS
F.Y. 1987 OMB SUBMISSION
(Dollars in millions)

Page 1 of 2

2/19/86

PROGRAMS	F.Y. 1985 BUDGET AUTHORITY	F.Y. 1985 ACTUAL OBLIGATIONS	F.Y. 1986 BUDGET AUTHORITY	F.Y. 1986 ESTIMATED OBLIGATIONS	F.Y. 1987 BUDGET AUTHORITY	F.Y. 1987 ESTIMATED OBLIGATIONS
Subject to Limitation						
Interstate	$4,030	$3,889	$3,828	$3,737	$0 **	$0
Interstate 4R	2,800	2,354	3,015	2,201	0 **	0
Primary	2,351	2,168	2,396	1,818	0 **	0
Interstate/Primary	0	0	0	0	7,843 **	7,464
Interstate Substitution	700	869	694	574	500	500
Secondary	650	594	622	479	0 ***	0
Urban	800	781	766	646	0 ***	0
Bridge Replacement	1,550	1,573	1,962	1,675	1,250	1,175
Safety Construction	390	339	373	335	365	325
Motor Carrier Safety Grants	0	0	0	0	(50)	50
Highway Block Grant	0	0	0	0	2200	2200
Miscellaneous *	535	631	287	357	262 ****	507
Administration	0	190	0	185	0	199
Subtotal, Limitation	$13,761	$13,350	$13,942	$12,202	$12,420	$12,420
Not Subject to Limitation						
Minimum Apportionment	960	801	622	931	250	250
Emergency Relief	100	72	96	160	100	100
Accelerated Bridges	0	(15)	0	14	0 *	0 *
Woodrow Wilson Bridge	0	0	0	0	0 *	0 *
Union Station	0	0	0	4	0 *	0 *
Gap Closing Demo. (131)	62	0	0	0	0 *	0 *
Duluth Segments Demo. (131)	25	22	24	25	0 *	0 *
Milwaukee Bridge	0	21	0	13	0 *	0 *
Alaska Highway	0	4	0	8	0	0
Subtotal, Exempt Programs	1,147	905	742	1,155	350	350
TOTAL	$14,908	$14,255	$14,684	$13,357	$12,770	$12,770 1/

* These programs are subject to the limitation and are included under miscellaneous in that year
** Interstate 4R & Primary are combined into a single program
*** Highway Block Grant authorization is in place of the Secondary, Urban, and Non-Primary Bridge programs
****Includes Territorial Highways and the Federal Lands Program

1/ These amounts reflect estimated obligations by the various program categories after taking into consideration the various take-downs from dollar authorizations, ie. administration, HPR, SHRP, etc. and does not necessarily agree with amounts reflected in the budget appendix.

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FEDERAL-AID HIGHWAYS
F Y 1987 OMB SUBMISSION
MISCELLANEOUS PROGRAMS
(Dollars in millions)

Page 2 of 2

2/3/86

PROGRAMS	F Y 1985		F Y 1986		F Y 1987	
	BUDGET AUTHORITY	ACTUAL OBLIGATIONS	BUDGET AUTHORITY	ESTIMATED OBLIGATIONS	BUDGET AUTHORITY	ESTIMATED OBLIGATIONS
Federal Lands Hwy Program	$300	$184	$287	$264	$250	$200
Dodge Island Bridge (131b)	0	0	0	0	0	23
Economic Growth Centers	0	7	0	4	0	0
Strategic Hwy Research Program	0	0	0	0	0	30
Hwy Planning and Research	0	170	0	169	0	136
Metro Planning	0	47	0	67	0	60
Freight to Water Demo (131a)	20	21	0	9	0	7
Shoreline Erosion Demo (131c)	0	1	0	1	0	1
Traffic Congestion Demo (131d)	0	0	0	5	0	0
Accel Const Demo (131e)	0	7	0	0	0	0
Cert Accel Demo (151f)	0	1	0	7	0	25
Lake Road Erosion (131g)	0	0	0	0	0	0
Truck Safety Demo (131i)	0	1	0	2	0	0
Bypass Highway	0	77	0	0	0	0
Great River Road	0	22	0	0	0	0
Acosta Bridge	0	91	0	24	0	0
Bridges on Federal Dams	0	0	0	0	0	2
Urgent Supplemental Bridges	0	2	0	1	0	0
Franconia Notch	0	0	0	4	0	0
Accelerated Bridges	*	*	*	*	0	7
Woodrow Wilson Bridge	*	*	*	*	0	0
Union Station	*	*	*	*	0	4
Gap Closing Demo (131b)	*	*	*	*	0	0
Usable Segments Demo (131j)	*	*	*	*	0	0
Territorial Highway Program	*	*	*	*	12	12
Total Misc Programs	$320	$631	$287	$557	$262	$507

*These programs are not subject to the Limitation in these fiscal years

	Obligations ($ in millions)	
	FY 1986	FY 1987
Interstate Construction	3,732	0
Interstate 4R	2,201	0
Primary	1,818	0
Interstate/Primary	---	7,464

The STRA of 1986 would combine into a single program (Interstate/Primary) the authorizations for the Interstate construction, Interstate-4R, and primary programs, permitting the States to direct the funds to construction or rehabilitation anywhere on the Interstate or Primary Systems. The total authorization level would be decreased from $9.941 billion for all programs for funds available in FY 1986 to $7.843 billion in FY 1987. The provisions in this Act will enable the States to respond to the needs of the Interstate and primary highways.

The Interstate System is a limited access, connected network of the most important highway routes in the Nation. The System consists of 42,904 miles of designated routes in total. As of December 31, 1985, 738 miles (or 1.7 percent) were under basic construction while another 678 miles (1.6 percent) were in various stages of preconstruction development. Over 41,488 miles (or 96.6 percent) of the mileage is now open to traffic. Completion and preservation of the Interstate System remains of high national interest.

Federal funds have been involved in preserving the existing Interstate System since the mid-1970's when the 1976 Federal-Aid Highway Act authorized an initial sum of $175 million for a 3R (resurfacing, restoration, and rehabilitation) program. Subsequent legislation has reinforced the Federal commitment to maintain the usefulness of the billions of dollars already invested in the System. Pursuant to the 1982 STAA, the FY 1987 authorization for what is now termed the 4R program (3R plus reconstruction) was $3.15 billion.

The primary system consists of connected main highways important to Interstate, statewide, and regional travel, consisting of approximately 257,000 miles, excluding the Interstate. Virtually, all rural arterials and 30 percent of the urban arterials are on the primary system. All urbanized areas (50,000 and over) and nearly all areas with populations of at least 25,000 are served by the system. Half of all highway travel occurs on the primary system and the Interstate System.

The typical route on the primary system has been built to a high standard and remains in good condition. In 1983, according to the 1985 Needs report, a substantial increase in pavement resurfacing and replacement activity made possible by the increased authorizations of the 1982 STAA, helped reverse a short-term trend toward deterioration of overall pavement condition.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Interstate Substitutions	574	500

Under this authorization, States and localities are provided financial assistance for previously approved withdrawals of Interstate segments and may apply authorized funds to substitute highway projects. The Administration has proposed legislation to also fund substitute transit projects from this authorization. Twenty-five percent of these funds would be available at the discretion of the Secretary.

The Interstate transfer program originated with the Federal-Aid Highway Act of 1973. The program allows withdrawal of Interstate segments that are not found necessary to completion of a unified and connected Interstate System. Withdrawal of Interstate segments establishes eligibility for Federal grants for substitute transit and highway projects selected by the State Governor and local officials, in the area from which the route was withdrawn. The deadline for approval of withdrawals and substitute projects was September 30, 1983, except for routes under injunction on November 6, 1978, or May 12, 1982. Currently some 343.0 miles have been withdrawn in 21 States. These routes had a cost of some $9.8 billion (Federal funds), establishing eligibility for substitute grants of nearly $15.0 billion (including adjustments).

	Obligations ($ in millions)	
	FY 1986	FY 1987
Secondary	479	0
Urban	646	0

The Federal-aid Secondary System and Urban System programs would be eliminated under the proposed STRA of 1986. The proposed Highway Block Grant would replace these programs and part of the Bridge Replacement and Rehabilitation Program.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Bridge Replacement and Rehabilitation Program	1,675	1,175

The 1982 STAA significantly increased the authority for this program and continued the emphasis in the 1978 Act on dealing with unsafe and inadequate bridges. The proposed STRA of 1986 would continue a separate bridge replacement and rehabilitation program for the primary system (excluding Interstate bridges). Funds for non-Primary System bridges would be included in the authorization for the highway block grant.

The sixth annual report to Congress on the Highway Bridge Replacement and Rehabilitation Program (April 1985) reports that the total cost to replace and rehabilitate bridges on the primary system is $11.4 billion. The authorizations provided by the STRA of 1986 helps States respond to these needs.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Safety Construction Program	335	325

Programs authorized by the 1982 STAA and proposed to be continued by the STRA of 1986 for safety construction are:

- Rail-Highway Crossings (on and off-system)
- Hazard Elimination Program

Annual authorizations of $190 million are proposed to carry out projects for the elimination of hazards at Rail-Highway Crossings. The Hazard Elimination Program wouldbe funded at an annual level of $175 million. The Hazard Elimination funds may be used on any public road other than Interstate. The Rail-Highway Crossings funds can be used on any public road.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Motor Carrier Safety Grants	(16)	50

The Motor Carrier Safety Grants provide funds to assist the States in developing or implementing programs for the enforcement of Federal rules, regulations, standards, and orders applicable to commercial motor vehicle safety. This program, first authorized by the 1982 STAA, would be funded beginning in 1987 by a $50 million/year set aside from the Interstate/Primary program authorization. State would have the option to set aside additional authority for this program. A separate $16.3 million appropriation funded this program in 1986.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Highway Block Grant	---	2,200

A highway block grant is proposed by the STRA of 1986. The program would be authorized as contract authority in lieu of the present Urban, Secondary, and non-Primary Bridge Replacement and Rehabilitation programs at a level of $2.2 billion for FY 1987.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Miscellaneous Programs	557	507

This category includes programs which are distinct from the activities of the highway construction programs discussed above, and includes, but is not limited to the following:

- Federal Lands
- Demonstration Projects
- Highway Planning and Research
- Strategic Highway Research Program
- Metropolitan Planning
- Territorial Highways

The Federal lands activity includes the Forest Highways, Park Roads, Indian reservation roads and public lands highways. These programs provide for aiding in the construction and improvement of highways serving the National Forest Highway System, unreserved public lands, nontaxable Indian lands, or other Federal reservations. The 1982 STAA established a coordinated program with DOT coordinating with the land managing agency in the planning studies and program development of public Federal lands highway roads. The STRA of 1986 proposes no major changes in the operation of this program.

The 1982 STAA contained numerous site-specific "demonstration" projects authorizing funds to carry out certain projects. Obligation activity is still occurring for some of these programs. Not all of these demonstration projects were covered by the 1985 and 1986 limitation on obligations, and are shown as not subject to the limitation in those years.

Highway Planning and Research is funded through "take-downs" from Federal-aid program authorizations, and used to enable State highway agencies to conduct studies that will help them plan, design, construct, operate, and maintain highways and transportation systems more efficiently and cost effectively.

The Strategic Highway Research Program has been developed to address several critical research needs. The program will focus on the following six areas: 1) asphalt, 2) maintenance cost effectiveness, 3) bridge deck protection, 4) cement and concrete, 5) chemical control of snow and ice, and 6) long-term pavement performance. The 5-year program with a cost of approximately $33 million per year will be funded by a one-fourth percent takedown from the funds authorized for the Interstate/primary, Interstate substitute, bridge replacement and rehabilitation and the consolidated transportation programs.

Metropolitan planning funds are used to finance the urban transportation planning activities mandated by 23 USC 134. Under the STRA of 1986, the funding would be derived from take-downs from the Interstate/primary program.

The territorial highways program provides special funds for the improvement of highways in Guam, the Virgin Islands, American Samoa and the Commonwealth of the Mariana Islands. The proposed STRA of 1986 provides $12 million in contract authorization for this program.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Minimum Apportionment	[illegible]	[illegible]

The proposed STAA of 1986 continues this program, which will remain exempt from the obligation ceiling. Minimum Apportionment is a compensating authorization that is distributed to those States whose percentage shares of total apportionments for Interstate/primary, Interstate highway substitute, bridge, highway block grant, and safety construction programs are less than 85 percent of the percentage of estimated highway-user fees attributed to those States.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Emergency Relief	100	100

The Emergency Relief Program is not subject to the obligation ceiling. This program provides funds for the repair or reconstruction of highways that are damaged because of natural disasters or catastrophic failures.

	Obligations ($ in millions)	
	FY 1986	FY 1987
Administration and Research	[illegible]	[illegible]

Section 104, Title 23, United States Code authorizes the Secretary of Transportation to deduct up to 3 3/4 percent of certain sums authorized prior to apportionment for the administration of Federal-aid highways, and for conducting highway research and development activities. These funds, deducted prior to the apportionment of funds to the States, remain available until expended. Of these funds, currently, approximately, $[illegible] million in FY 1987 and $[illegible] million in FY 1986 will be transferred to and obligated under the "Limitation on General Operating Expenses." Supporting justification for use of the amounts transferred is contained under that section of budget document. The following table shows the estimated status of the [illegible].

[illegible]
[illegible]
[illegible]

[illegible] [illegible]
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[illegible] [illegible]

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[illegible]

[illegible]

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

STATUS OF UNFUNDED CONTRACT AUTHORITY

(DOLLARS IN THOUSANDS)

	Amount
Unfunded Balance, 9/30/84	$24,787,064
Contract authority, F.Y. 1985	14,908,042
LESS: F.Y. 1985 Liquidating cash appropriation	(12,800,000)
Unfunded balance, 9/30/85	26,895,106
Contract Authority, F.Y. 1986	15,344,613
Less: Gramm-Rudman reduction of FY 1986 Authority	(659,799)
LESS: F.Y. 1986 liquidating cash appropriation (est.)	(13,836,000)
Unfunded balance, 9/30/86 (est.)	27,743,920
Contract Authority, F.Y. 1987	12,770,000
Less: F.Y. 1987 liquidating cash appropriation (est.)	(13,036,000)
Unfunded balance, 9/30/87 (est.)	$27,477,920

NOTE: ( ) INCLUDED ON THIS PAGE DENOTES MINUS ENTRIES.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

OUTLAYS AND LIQUIDATING CASH

(Dollars in thousands)

	Amount
Unexpended appropriation balance, 9/30/84	$1,419,937
Add F Y 1985 liquidating cash appropriation	12,800,000
Balance available for F Y 1985	14,219,937
Less F Y 1985 outlays	(12,584,323)
Unexpended appropriation balance, 9/30/85	1,635,614
Add F Y 1986 liquidating cash appropriation	13,836,000
Balance available for F Y 1986 (est)	15,471,614
Less F Y 1986 outlays, (est)	(13,759,800)
Less Gramm-Rudman Outlay reduction	94,708
Unexpended appropriation balance, 9/30/86 (est)	1,806,522
Add F Y 1987 liquidating cash appropriation request	13,036,000
Balance available for F Y 1986 (est)	14,842,522
Less F Y 1987 Outlays (est)	(13,476,000)
Less Gramm-Rudman Outlay reduction	292,622
Unexpended appropriation balance, 9/30/87 (est)	$1,659,144

NOTE ( ) INCLUDED ON THIS PAGE DENOTES MINUS ENTRIES

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

STATUS OF AUTHORITY

(Dollars in thousands)

	Amount
Unobligated authority, 9/30/84	$6,458,872
F.Y. 1985 authorization	14,908,042
Available authority for F.Y. 1985	21,366,914
Less: F.Y. 1985 Obligations	(14,055,354)
Unobligated authority, 9/30/85	7,311,560
Available authority for F.Y. 1986	15,344,613
Less: P.L. 99-177 reduction of Authority	(659,799)
Less: F.Y. 1986 Obligations (est.)	(13,905,000)
Less: P.L. 99-177 Obligation reduction	548,250
Unobligated authority, 9/30/86 (est.)	8,639,624
Available authority for F.Y. 1987 (est.)	12,770,000
Less: F.Y. 1987 obligations (est.)	(12,770,000)
Unobligated authority, 9/30/87 (est.)	$8,639,624

NOTE: ( ) INCLUDED ON THIS PAGE DENOTES MINUS ENTRIES.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT
AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 20-8102-0-7-401	FY 1985	FY 1986	FY 1987
Program by activities			
Direct Program			
1 Interstate construction	3,888,969	3,900,000	
2 Interstate 4R	2,354,177	2,300,000	
3 Primary	2,167,950	1,900,000	
4 Interstate/Primary			7,793,000
5 Interstate substitutions	869,436	600,000	500,000
6 Secondary system	533,514	500,000	
7 Urban system	700,589	675,000	
8 Bridge program	1,573,422	1,750,000	1,250,000
9 Construction safety programs	339,056	350,000	365,000
10 Motor Carrier Safety Grants			50,000
11 Highway Block Grant			2,200,000
12 Administration and research	191,663	201,522	199,091
13 Other	1,436,578	1,728,478	412,909
Total direct program	14,055,354	13,905,000	12,770,000
Reimbursable program	20,543	35,000	35,000
10.00 Total obligations	14,075,897	13,940,000	12,805,000

NOTE Includes $50,000 thousand in 1987 for activities funded in prior year under Motor Carrier Safety Grants (trust fund) Comparable amounts for 1985 ($14,000) and 1986 ($17,000) are excluded from above amounts

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 69-8102-0-7-401	FY 1985	FY 1986	FY 1987
Financing			
Offsetting collections from:			
11 00 Federal funds	-8,627	-14,700	-14,700
13 00 Trust funds	-83	-140	-140
14 00 Non-Federal sources	-11,833	-20,160	-20,160
21 49 Unobligated balance available, start of year	-6,454,178	-7,304,243	-8,743,406
24 49 Unobligated balance available, end of year	7,304,243	8,743,406	8,743,406
25 00 Unobligated balance lapsing	2,623	...	...
39 00 Budget authority	14,908,042	15,344,163	12,770,000
Budget authority			
Current:			
40 00 Appropriation	12,800,000	13,836,000	13,036,000
40 49 Portion applied to liquidate contract authority	-12,800,000	-13,836,000	-13,036,000
49 10 Contract authority (Public Law 98-229)			8,670,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 20-8102-0-7-401	FY 1985	FY 1986	FY 1987
Permanent:			
69 10 Contract authority definite (Public Law 97-424)	14,908,042	13,344,163	4,100,000
Relation of obligations to outlays:			
71 00 Obligations incurred, net	14,055,354	13,905,000	12,770,000
Obligated balance, start of year:			
72 40 Appropriation	1,419,937	1,635,614	1,711,814
72 49 Contract authority	18,332,886	19,586,741	19,655,741
Obligated balance, end of year:			
74 40 Appropriation	-1,635,614	-1,711,814	-1,271,414
74 49 Contract authority	-19,586,741	-19,655,741	-19,389,741
77 00 Adjustment in expired account	-1,500		
90 00 Outlays	12,584,323	13,759,800	13,476,400

Status of Direct Loans (in thousands of dollars)

Position with respect to limitation on obligations:			—
1110 Limitation on obligations			
1130 Obligations exempt from limitation	26,603	135	1,040
1151 Obligations incurred, gross Direct Loans to the public	26,603	135	1,040

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

identification code: 20-8102-0-7-401	FY 1985	FY 1986	FY 1987
Cumulative balance of direct loans outstanding:			
1210 Outstanding, start of year......	69,056	74,885	75,448
1231 New Loans: Disbursements for direct loans..............	5,828	563	1,040
1290 Outstanding, end of year.......	74,885	75,448	76,488

Status of Unfunded Contract Authority (in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Unfunded balance, start of year.....	24,787,064	26,890,985	27,739,349
Contract authority..................	14,908,042	15,344,163	12,770,000
Unfunded balance rescission proposal	...	...	...
Unfunded balance lapsing............	-2,623	...	...
Unfunded balance written off........	-1,500	...	...
Reduction Pursuant to P.L. 99-177...	...	-659,799	...
Appropriation from Highway Trust Fund to liquidate contract authority...	-12,800,000	-13,836,000	-13,036,000
Unfunded balance, end of year..	26,890,985	27,739,349	27,473,349

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 20-8102-0-7-401	FY 1985	FY 1986	FY 1987
FEDERAL HIGHWAY ADMINSTRATION			
Direct obligations			
Personnel Compensation:			
11.1 Full-time permanent	6,438	5,944	6,081
11.3 Other than full-time permanent	1,072	1,026	1,064
11.5 Other personnel compensation	672	533	470
11.9 Total personnel compensation	8,182	7,502	7,615
12.1 Personnel benefits: Civilian	971	909	935
21.0 Travel and transportation of persons	2,585	2,437	2,309
22.00 Transportation of things	709	610	564
23.2 Communications, utilities, and other rent	836	713	631
24.00 Printing and reproduction	127	135	149
25.0 Other services	3,715	4,007	5,339
26.00 Supplies and materials	281	229	243
31.00 Equipment	49	53	59
32.00 Lands and structures	114,982	130,700	143,400
33.00 Investments and loans	26,603	135	1,040
41.00 Grants, subsidies, and contributions	13,558,436	13,427,217	12,277,725
93.00 Limitation on general operating expenses (see separate sched)	191,663	201,522	199,091
99.00 Subtotal, direct obilgations	13,909,139	13,776,170	12,639,100
99.00 Reimbursable obligations	20,543	35,000	35,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT
AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 20-8102-0-7-401	FY 1985	FY 1986	FY 1987
ALLOCATION ACCOUNTS			
Personnel Compensation			
11.1 Full-time permanent	11,720	12,079	12,019
11.3 Other than full-time permanent	7,733	8,260	8,235
11.5 Other personnel compensation	2,003	2,187	2,187
11.8 Special personal services paym	23	13	13
11.9 Total personnel compensation	21,479	22,539	22,454
12.1 Personnel benefits Civilian	2,120	1,866	1,859
21.0 Travel and transportation of persons	2,712	2,430	2,324
22.00 Transportation of things	2,109	1,840	1,738
23.1 Standard level user charge	4		
23.2 Communications, utilities, and other rent	1,986	1,459	1,155
24.00 Printing and reproduction	203	145	126
25.0 Other services	25,297	17,154	12,729
26.00 Supplies and materials	5,606	4,350	3,589
31.00 Equipment	1,231	1,260	1,330
32.00 Lands and structures	83,419	75,766	83,592
41.00 Grants, subsidies, and contributions	49	21	4
42.00 Insurance claims & indemnitie			
99.00 Subtotal, obligations allocation accounts	146,215	128,830	130,900
99.9 Total Obligations	14,075,897	13,940,000	12,805,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

identification code 20-8102-0-7-401	FY 1985	FY 1986	FY 1987
Obligations are distributed as follows:			
Federal Highway Administration	13,929,682	13,801,170	12,674,100
Urban Mass Transportation Administration	6,554	10,000	10,000
Army Corps of Engineers	-235	...	...
Agriculture Forest Service	22,867	13,300	6,000
Interior			
Bureau of Indian Affairs	100,162	98,200	97,900
National Park Service	16,777	17,300	17,000
Bureau of Land Management	90	30	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL-AID HIGHWAYS

Personnel Summary

Identification code 20-8102-0-7-401	FY 1985	FY 1986	FY 1987
FEDERAL HIGHWAY ADMINISTRATION			
Direct			
Total number of full-time permanent positions	243	225	230
Total compensable workyears:			
Full-time equivalent employment	271	272	282
Full-time equivalent of overtime and holiday hours	25	20	17
Reimbursable			
Total number of full-time permanent positions	92	104	100
Total compensable workyears:			
Full-time equivalent employment	128	117	112
Full-time equivalent of overtime and holiday hours	3	6	6
ALLOCATION ACCOUNTS			
Total number of full-time permanent positions	579	575	573
Total compensable workyears:			
Full-time equivalent employment	852	839	831
Full-time equivalent of overtime and holiday hours	9	8	0

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)
REDUCTION PURSUANT TO PUBLIC LAW 99-177
Program and Financing (in thousands of dollars)

Identification code 20-8102-6-7-401	FY 1985	FY 1986	FY 1987
Program by activities			
10 00 Total obligations		-548,250	...
Financing			
21 49 Unobligated balance available, start of year			-111,549
24 49 Unobligated balance available, end of year (Contract auth.)		-111,549	111,549
49 10 Budget authority (contract authority)		-659,799	...
Relation of obligations to outlays			
71 00 Obligations incurred, net		-548,250	
Obligated balance, start of year:			
72 40 Appropriation			94,708
72 49 Contract authority			-548,250
Obligated balance, end of year:			
74 40 Appropriation		-94,708	-387,330
74 49 Contract authority		548,250	548,250
90 00 Outlays		-94,708	-292,622

HIGHWAY TRUST FUND

Page 1 of 5

Amounts available for appropriation (in thousands of dollars)

	1985	1986	1987
Unexpended balance brought forward	11,821,542	12,836,025	12,660,107
Balance in expenditure accounts	-101,985	-143,091	-126,179
Appropriated balance	-1,630,340	-1,832,433	-2,018,000
Unappropriated balance, start of year	10,089,217	10,940,501	10,515,928
Receipts	14,327,621	14,423,300	15,079,800
Total available for appropriation	24,416,845	25,363,801	25,595,728
Appropriations			
Federal Highway Administration			
Federal-aid Highways (liquidation of contract authorization)	12,800,000	13,836,000	13,036,000
Highway-related safety grants (Liquidation of contract auth.)	5,000	9,000	12,000
Trust fund share of other highway programs	19,760	10,667	
Highway safety research and development	8,500	8,500	7,000
Highway safety research and development(transfer to NHTSA)	-1,500		
Motor carrier safety grants	14,000	17,000	
Motor carrier safety			19,515
Intermodal Urban Demonstration	2,750		
Baltimore-Washington Parkway		3,000	
Carpool and vanpool(transfer to NHTSA)		-500	

HIGHWAY TRUST FUND

Amounts available for appropriation (in thousands of dollars)

Page 2 of 5

	1985	1986	1987
National Hwy. Traffic Safety Admin.			
Trust fund share of oper. and research	23,831	29,894	29,040
Transfer from FHWA	1,500	500	...
Transfer from UMTA	...	5,000	...
Rescission	...	-1,500	...
Highway traffic safety grants (Liquidation of contract auth.)	125,000	149,000	118,000
Highway traffic safety grants (Liquidation of contract auth.) Transfer from FHWA			
Urban Mass Transportation Administration Programs			
Discretionary grants (Liquidation of contract auth.)	450,000	775,000	950,000
Transportation block grants (Liquidation of contract auth.)	...	...	264,625
Other Agencies			
Cumberland gap highway (NPS)	28,000	10,300	...
Reduction pursuant to P.L. 99-177		-3,413	
Total appropriations	13,476,841	14,348,448	14,436,180
Adjustments in expired accounts, unexpired accounts, lapses and returns to unappropriated receipts	494	575	
Unexpended balance, end of year	12,886,025	12,660,107	13,268,210
Balance in expenditure accounts	-143,091	-126,179	-92,898
Appropriated balance	-1,802,433	-2,018,000	-2,013,619
Unappropriated balance, end of year	10,940,501	10,515,928	11,161,693

HIGHWAY TRUST FUND

Page 3 of 5

Amounts available for appropriation (in thousands of dollars)

	1985	1986	1987
Unexpended balance brought forward			
US Securities (par)	10,840,227	11,942,635	12,660,107
Cash	981,315	942,390	...
Balance of fund at start of year	11,821,542	12,886,025	12,660,107
Cash income during the year Governmental receipts			
From excise taxes			
Gasoline taxes	8,952,502	8,802,000	8,923,000
Truck, bus and trailer taxes	1,395,706	1,197,000	1,190,000
Tire innertube and tread rubber taxes	222,009	250,000	233,000
Diesel fuel taxes	2,558,615	2,618,000	2,711,000
Lubricating oil taxes	-90	...	...
Use tax on certain vehicles	378,592	406,000	430,000
Truck parts and accessories taxes	965	1,000	...
Transfers to boating safety fund	...	...	...
Transfer to aquatic resources fund	-66,882	-72,000	-72,000
Refund of taxes	-426,464	-180,000	-214,000
Proposed legislation	...	...	613,000
Interest on investments	1,312,677	1,401,300	1,265,800
Total annual income	14,327,631	14,423,300	15,079,800
Mass transit account	(1,419,966)	(1,352,500)	(1,528,600)

HIGHWAY TRUST FUND

Amounts available for appropriation (in thousands of dollars)

Page 4 of 5

	1985	1986	1987
Cash outgo during the year:			
Federal Highway Administration			
Federal-aid Highways (liquidation of contract authorization)	12,584,323	13,759,800	13,476,400
Highway-related safety grants (Liquidation of contract auth.)	11,548	9,791	11,044
Trust fund share of other hwy. prog	10,298	12,475	15,834
Highway safety research and develop	9,750	8,243	9,203
Miscellaneous highway trust funds	1,506	3,889	3,521
Motor carrier safety grants	9,072	27,269	987
Motor carrier safety	...	...	17,114
Right-of-way revolving fund (Liquidation of contract auth.)	-15,099	...	...
Baltimore-Washington Parkway	...	818	1,124
National Hwy. Traffic Safety Admin			
Trust fund share of oper. and research	21,026	25,383	28,249
Rescission	...	...	...
Highway Traffic Safety Grants (Liquidation of contract auth.)	120,137	133,400	133,075

HIGHWAY TRUST FUND

Page 5 of 5

Amounts available for appropriation (in thousands of dollars)

	1985	1986	1987
Urban Mass Transportation Administration Programs			
Discretionary grants (Liquidation of contract auth.)	506,998	752,611	801,545
Transportation block grants-transit (Liquidation of contract auth.)			264,625
Other agencies			
Cumberland Gap, NPS	3,588	19,300	14,600
Reduction pursuant to P.L. 99-170		-103,761	-305,624
Total annual outlays	13,263,148	14,649,218	14,471,697
Unexpended balance carried forward			
US Securities	11,943,635	12,660,107	13,268,210
Cash	942,390		
Balance of fund at end of year	12,886,025	12,660,107	13,268,210
Commitments against unexpended balances			
Appropriated but not expended			
Appropriations	-143,901	-126,179	-92,898
Liquidation of contract authorization	-1,802,439	-2,018,000	-2,013,619
Committed to future liquidating cash appropriations			
Outstanding obligated balance of contract authority	-21,533,618	-20,885,853	-21,034,140
Unobligated balance of contract authority	-8,102,358	-9,319,181	-8,865,516
Total commitments against unexpended balances	-31,581,500	-32,349,213	-32,006,173
Uncommitted balance, end of year	-18,965,475	-19,686,961	-18,737,963

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY TRUST FUND

GENERAL STATEMENT

The Highway Trust fund was originally established in the Treasury in accordance with provisions of the Highway Revenue Act of 1957, as amended (23 U.S.C. 12 note). It was extended by the Surface Transportation Assistance Act of 1982 (1982 STAA) and recently modified by the Deficit Reduction Act of 1984 (P.L. 98-369). Amounts equivalent to taxes on gasoline, diesel fuel, special motor fuels, tires, tubes, tread rubber, commercial motor vehicles, truck use, lubricating oil, and parts and accessories for truck, buses, etc., are designated by the act to be appropriated and transferred from the general fund of the Treasury to the trust fund. These transfers are made at least monthly on the basis of estimates by the Secretary of the Treasury, subject to adjustments in later transfers to the amount of actual tax receipts. Amounts available in the fund in excess of outlay requirements are invested in public debt securities and interest thereon is credited to the fund. There are also credited to the fund repayable advances from the general fund, as authorized and made available by law, to meet outlay requirements in excess of available revenues during a portion of a fiscal year, if necessary.

Current Law

The termination date of the fund was extended to September 30, 1988, as a result of the Surface Transportation Assistance Act of 1982 (Public Law 97-424, approved January 6, 1983). The 1982 STAA also established a mass transit account within the Trust Fund to be funded by one-ninth of the excise tax collections under section 4041 and 4081 of the Internal Revenue Code (26 U.S.C.) imposed after March 31, 1983. The funds from this account are used for expenditures in accordance with section 21(a)(2) of the Urban Mass Transportation Act of 1964. The remaining excise taxes collected are included in a highway account within the trust fund and expenditures from this account are made in accordance with the provisions of Title 23 United States Code and the periodic Federal-Aid Highway Acts.

Amounts required for outlays to carry out the Federal-aid highway program are appropriated to the Federal Highway Administration, Department of Transportation. Other charges to the trust fund are made by the Secretary of the Treasury for transfers of certain taxes to the land and water conservation fund and to the aquatic resources fund, refunds of certain taxes, repayments of advances from the general fund, and the interest on advances.

The amendments to the Internal Revenue Code in the 1982 STAA related to the Highway Trust Fund require that before an apportionment be made, the Secretary of the Treasury must determine that adequate revenues will be available to meet these expenditures within 24 months after the close of the fiscal year for which the apportionment is made.

Proposed Legislation

In order to provide continued funding for the programs of the Federal Highway Administration as well as other accounts funded through the Highway Trust Fund, provisions are included in the legislative proposal to continue the user fees and the Highway Trust Fund for four years (through September 30, 1992).

Elimination of Certain Exemptions from User Fees

The current exemptions of gasohol, methanol, and ethanol significantly reduce the revenues being paid into the Highway Trust Fund. The loss in revenues is $506 million in FY 1987. Since vehicles using these "exempt" fuels use the highways just as vehicles using nonexempt fuels, these exemptions are inappropriate and contrary to the user fee principle. The repeal of these exemptions is proposed as part of the Administration's tax simplification initiative and reauthorization bill.

Also, provisions to eliminate the current exemptions from Federal gasoline, diesel, and tire taxes for public and private revenue bus operations are included. These exemptions are estimated to cost the Highway Trust Fund about $107 million per year in lost revenue. The goal of the elimination of these exemptions is to charge the actual users of the highway systems for their use of the Nation's highways.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND [(LIMITATION ON DIRECT LOANS)] (TRUST FUND)

During fiscal year [1986] 1987 and with the resources and authority available, gross obligations for the principal amount of direct loans shall not exceed $50,000,000. (Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-Of-WAY REVOLVING FUND
(LIMITATION ON DIRECT LOANS) (TRUST FUND)

GENERAL STATEMENT

The Federal-Aid Highway Act of 1968 authorized $300 million for the establishment of Right-of-Way Revolving Fund. This fund is utilized to make interest free cash advances to the States for the purpose of purchasing right-of-way parcels in advance of highway construction and thereby preventing the inflation of land prices from causing a significant increase in construction costs.

The initial legislation for this program required the States to construct the highway and reimburse the revolving fund within seven years from the date of the advance. This provision was necessary to assure that the fund would be replenished and allow advances to be made to other States requiring right-of-way acquisition. Since the 1968 Act, the 1973 Highway Act extended the required time limit to construction to ten years and the 1976 Highway Act extended the time limit indefinitely, if deemed necessary by the Secretary.

PROPOSED LEGISLATION

Advances for projects on the Interstate System will be made without interest. A State will pay interest on other advances at the "current value of funds rate" as prescribed and published by the Secretary of the Treasury, at the time funds are advanced to the State and shall remain in effect until the advance is repaid.

PROGRAM LEVELS

When right-of-way acquisition has been made and highway construction is initiated, the State becomes eligible for Federal grants under the various Federal-aid Highway authorizations. At the point when progress payments are made to the State for construction, the State in turn reimburses the revolving fund for advances made to that State for right-of-way acquisition. Utilizing this method of funding, all reimbursements made to the revolving fund may be reallocated to other States requiring advances.

Repayments to the Right-of-Way Revolving Fund for F.Y. 1986 and F.Y. 1987 are anticipated to offset obligations resulting in net obligations of zero in both years. Program activity will not exceed an obligation level equivalent to an obligation limitation of $50 million (reduced to $47.85 million by Gramm-Rudman) in F.Y. 1986 and $50 million in F.Y. 1987. This limitation is part of the Administration's efforts to assure prudent management of Federal credit programs. Because cash repayments to the Right-of-Way Revolving Fund are anticipated to be equal to outlays, a liquidating cash appropriation is not requested for F.Y. 1987.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND

STATUS OF LIQUIDATING CASH
(dollars in thousands)

	Amount
Unexpended appropriation balance, 9/30/80	$ 47,862
Less: F.Y. 1981 outlays	-7,425
Balance available for F.Y. 1981	40,437
Add: F.Y. 1982 liquidating cash appropriation	25,000
Balance available for F.Y. 1982	65,436
Less: F.Y. 1982 outlays	-1,370
Unexpended appropriation balance, 9/30/82	$ 64,066
Add: F.Y. 1983 liquidating cash appropriation	0
Balance available for F.Y. 1983	$ 64,066
Less: F.Y. 1983 outlays	+47,480
Unexpended appropriation balance, 9/30/83	$111,546
Less: F.Y. 1984 Outlays (actual)	+17,803
Unexpended appropriation balance, 9/30/84	$129,349
Less: F.Y. 1985 Outlays (est.)	0
Unexpended appropriation balance, 9/30/85	$129,349
Less: F.Y. 1986 Outlays (est.)	0
Less: F.Y. 1986 Outlay reduction, P.L. 99-177	-2,150
Unexpended appropriation balance, 9/30/86 (est.)	$127,199
Less: F.Y. 1987 outlays (est.)	...
Unexpended appropriation balance, 9/30/87 (est.)	$127,199

ANALYSIS OF APPROPRIATIONS
(dollars in thousands)

	Amount
Total liquidating cash authorization	$300,000
Less: Appropriations through F.Y. 1980	235,000
Unappropriated balance, 9/30/80	$ 65,000
Less: F.Y. 1981 appropriation	0
Unappropriated balance, 9/30/81	65,000
Less: F.Y. 1982 appropriation	-25,000
Unappropriated balance, 9/30/82	$ 40,000
Less: F.Y. 1983 appropriation	0
Unappropriated balance, 9/30/83	$ 40,000
Less: F.Y. 1984 appropriation request	0
Unappropriated balance, 9/30/84	$ 40,000
Less: F.Y. 1985 appropriation request	0
Unappropriated balance, 9/30/85	$ 40,000
Less: F.Y. 1986 appropriation request	0
Unappropriated balance 9/30/86 (estimate)	$ 40,000
Less: F.Y. 1987 appropriation request	0
Unappropriated balance 9/30/87 (estimate)	$40,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIMITATION ON DIRECT LOANS) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 69-8402-0-8-401	FY 1985	FY 1986	FY 1987
Program by Activities			
10 00 Total obligations	101,445	50,000	50,000
Financing			
14 00 Offsetting collections from non-federal sources	-64,597	-50,000	-50,000
17 00 Recovery of prior year obligations	-88,853		...
Unobligated balance available, start of year			
21 40 Appropriation		-43,779	-43,779
21 49 Contract Authority	-31,773	-40,000	-40,000
Unobligated balance available, end of year			
24 40 Appropriation	43,779	43,779	43,779
24 49 Contract Authority	40,000	40,000	40,000
39 00 Budget Authority		...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIMITATION ON
DIRECT LOANS) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code 69-8402-0-8-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays:			
71.00 Obligations incurred, net	36,848	...	...
Obligated balance, start of year:			
72.49 Contract authority	8,227	...	...
72.98 Fund balance	129,349	100,670	100,670
Obligated balance, end of year:			
74.49 Contract authority	...	...	...
74.98 Fund balance	-100,670	-100,670	-100,670
78.00 Adjustment in unexpired accounts	-88,853	...	...
90.00 Outlays	-15,099	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIMITATION ON DIRECT LOANS) (TRUST FUND)

Status of Direct Loans (in thousands of dollars)

identification code: 69-8402-0-8-401	FY 1985	FY 1986	FY 1987
Position with respect to Limitation on obligations:			
1111 Limitation on direct loans to the public	36,848	50,000	50,000
1151 Total direct loan obligations	36,848	50,000	50,000
Cumulative balance of direct loans outstanding:			
1210 Outstanding, start of year	130,651	115,552	115,552
1231 New loans: Disbursements for Direct loans	49,498	50,000	50,000
1251 Recoveries: payment and prepayment	-64,597	-50,000	-50,000
1290 Outstanding, end of year	115,552	115,552	115,552
Status of Unfunded Contract Authority:			
Unfunded balance, start of year	40,000	40,000	40,000
Appropriation from the Highway Trust fund to liquidate contract authority	...	...	...
Unfunded balance, end of year	40,000	40,000	40,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIMITATION ON DIRECT LOANS) (TRUST FUND)

Revenue and Expenses (in thousands of dollars)

	1985 actual	1986 estimate	1987 estimate
Advances for acquisition of right-of-way programs			
Revenue	64,597	...	...
Expense	-49,498	...	...
Net operating income	15,099	...	...

Financial Condition (in thousands of dollars)

	1984 actual	1985 actual	1986 estimate	1987 estimate
Assests:				
Selected assets:				
Drawing account with Treasury				
Advances (loans)	130,651	115,552	115,552	115,552
Due from Highway trust fund	129,349	144,448	144,448	144,448
Total Assets	260,000	260,000	260,000	260,000
Government equity:				
Selected equities:				
Non-interest bearing capital:				
Undisbursed loan obligations	137,576	100,670	100,670	100,670
Unobligated balance	31,773	83,779	83,779	83,779
Contract authority	-40,000	-40,000	-40,000	-40,000
Invested capital	130,651	115,552	115,552	115,552
Total Government equity	260,000	260,000	260,000	260,000

Analysis of changes in Government equity:			
Non-interest bearing capital:			
Start of year	260,000	260,000	260,000
Appropriation	...	...	...
Total Government equity, end of year	260,000	260,000	260,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIMITATION ON
DIRECT LOANS) (TRUST FUND)
REDUCTION PURSUANT TO PUBLIC LAW 99-177
Program and Financing (in thousands of dollars)

Identification code: 69-8402-6-8-401	FY 1985	FY 1986	FY 1987
Program by Activities:			
10.00 Total obligations	...	-2,150	...
Financing:			
21.40 Unobligated balance available, start of year	...		-2,150
24.40 Unobligated balance available, end of year	...	2,150	2,150
39.00 Budget Authority	...	...	...
Relation of obligations to outlays			
71.00 Obligations incurred, net		-2,150	
90.00 Outlays		-2,150	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIMITATION ON DIRECT LOANS) (TRUST FUND)
REDUCTION PURSUANT TO PUBLIC LAW 99-177

Status of Direct Loans (in thousands of dollars)

Identification code: 69-8402-6-8-401	FY 1985	FY 1986	FY 1987
Position with respect to Limitation on obligations:			
1111 Limitation on direct loans to the public	...	-2,150	...
1150 Total direct loan obligations	...	-2,150	...
Cumulative balance of direct loans outstanding			
1210 Outstanding, start of year	...	...	-2,150
1231 New loans: Disbursements for Direct loans	...	-2,150	...
1290 Outstanding, end of year	...	-2,150	-2,150

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code 69-9972-0-7-401	FY 1985	FY 1986	FY 1987
Program by Activities			
1 Overseas Highway	...	935	...
2 Carpool Vanpool projects	41	154	...
3 Intermodal Urban Demo	282	2,468	...
10 00 Total obligations	324	3,556	...
Financing			
17 00 Recovery of prior year obligations	-210	...	...
21 40 Unobligated balance available, start of year	-1,421	-4,056	...
22 4 Unobligated balance transferred net	...	500	...
24 40 Unobligated balance available, end of year	4,056	...	...
39 00 Budget authority	2,750	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code 69-9972-0-7-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays:			
71.00 Obligations incurred, net	324	3,556	...
72.40 Obligated balance, start of year	9,359	7,945	7,612
74.40 Obligated balance, end of year	-7,945	-7,612	-4,090
77.00 Adjustments in exp. accounts	-22	...	...
78.00 Adjustments in unexp. account	-210	...	...
90.00 Outlays	1,506	3,889	3,521
Distribution of outlays by account			
Project Acceleration Demonstration	11	202	152
Traffic Control Signalization	208	645	483
Overseas Highway	345	1,703	1,436
Intermodal Urban Demonstration	45	988	1,161
Carpool/Vanpool Projects	898	351	290

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS
[HIGHWAY BEAUTIFICATION]

[Funds appropriated and obligated to carry out sections 131 and 136 of title 23, United States Code, which have been deobligated subsequent to enactment of this Act shall remain available until expended.]

[AIRPORT-HIGHWAY DEMONSTRATION PROJECT]

[TRANSFER OF FUNDS]

[For necessary expenses to carry out a highway project to depress a highway in Shawnee, Oklahoma, that demonstrates methods of improving air service to a small community by extension of a runway over a depressed road, to remain available until expended, $1,350,000 to be derived from unobligated balances of "Research, training, and human resources".]

[RAIL LINE CONSOLIDATION PROJECT]

[TRANSFER OF FUNDS]

[For necessary expenses to carry out a project to consolidate two rail lines on a common alignment in the vicinity of Orange, Texas, that demonstrates methods by which a rail line consolidation project will reduce motor vehicles traffic congestion and increase employment, to remain available until expended, $4,000,000 to be derived from unobligated balances of "Research, training, and human resources".] (Department of Transportation and Related Agencies Appropriations, Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

GENERAL STATEMENT

This account was established to display FHWA programs financed from general funds that no longer require appropriations and provide a mechanism to show the obligation and outlay of amounts made available in prior years. No appropriations are requested.

The following programs have unobligated balances available for obligation in F.Y. 1986.

Rural Highway Public Demonstration (General Fund portion)
Alaska Highway
Highway Widening Demonstration
Territorial Highways
Interstate Transfer Grants
Highway Beautification
Auto Pedestrian Separation Demonstration
Highway Safety Separation Demonstration
Rail Line Consolidation Project
Airport Highway Demonstration

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

identification code: 69-9911-0-1-401	FY 1985	FY 1986	FY 1987
Program by Activities:			
1. Interstate Transfer Grants......	7,554	55,870	...
2. Highway Crossing Federal Project	...	...	...
3. Mianus Bridge Assistance........	...	...	...
4. Highway Widening Demonstrations.	3,579	9,031	...
5. Rural Highway Public Transp.....	145	...	...
6. Alaska Highway..............	563	231	...
7. Territorial Highways............	...	2,967	...
8. Highway Beautification..........	...	220	...
9. Rail Crossing Demo. Projects....	...	...	...
10. InterAmerican Highway..........	3	...	...
11. Autopedestrian Separation Demo.	100	1,650	...
12. Highway Safety Separation Demo.	241	11,759	...
13. Rail Line Consolidation Proj. .	...	4,000	...
14. Airport-Highway Demonstration..	...	1,350	...
10.00 Total obligations	12,187	87,078	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

identification code 69-9911-0-1-401	FY 1985	FY 1986	FY 1987
Financing			
17.00 Recovery of prior years obligations............	-2,426	...	...
21.40 Unobligated balance available, start of year............	-79,984	-81,737	...
22.40 Unobligated Balance transferred, net..........	...	-5,350	
24.40 Unobligated balance available, end of year	81,737	...	...
25.00 Unobligated balance lapsing..	2,241	9	...
40.00 Budget Authority.........	13,755	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

identification code: 69-9911-0-1-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays:			
71.00 Obligations incurred, net	12,187	87,078	...
72.40 Obligated balance, start of year	507,292	265,259	228,763
74.40 Obligated balance, end of year	-265,259	-228,763	-121,278
77.00 Adjustments in expired accounts	-7,808	...	...
78.00 Adjustments in unexpired accounts	-2,426	...	...
90.00 Outlays	243,985	123,575	107,485

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

identification code 69-9911-0-1-401	FY 1985	FY 1986	FY 1987
Distribution of outlays by account:			
1. Interstate Transfer Grants	224,200	88,538	75,902
2. Highway Crossing Federal Project	353	58	43
3. Mianus Bridge Assistance	279	36	27
4. Highway Widening Demonstrations	6,801	6,882	6,697
5. Rural Highway Public Transp.	102	28	21
6. Alaska Highway	214	152	153
7. Territorial Highways	1,032	2,630	2,477
8. Bikeway Demonstrations	68	92	69
9. Highway Beautification	3,256	6,176	4,669
10. Rail Crossing Demo. Projects	40	265	199
11. Highway Related Safety Grants	11	5	3
12. Off System Rail Highway Demo.	4,362	6,562	4,922
13. Safer Off System Roads	2,676	6,387	4,791
14. Off System Roads	419	855	641
15. Bicycle Program	120	155	116
16. Public Lands	...	35	26
17. Inter American Highway	3	35	26
18. Darien Gap Highway	...	815	611
19. Highway Safety Separation Demo.	49	2,429	3,821
20. Rail Line Consolidation Proj.	...	800	1,280
21. Aiport-Highway Demonstration	...	270	432
22. Auto Pedestrian Separation Demo.	...	370	558

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS TRUST FUNDS

Funds received by this account come completely from non-Federal sources. FHWA holds these funds in trust until they are outlayed. The following programs are included in this fund:

1. Cooperative Work Forest Highways - Contributions are received from States and counties in connection with cooperative engineering, survey, maintenance and construction projects for Forest Highways.

2. Equipment, supplies, etc., for cooperating countries - In connection with the construction of the Darien Gap Highway, the Federal Highway Administration acted as agent for Panama and Colombia in purchasing equipment, supplies, and services. While no obligations are anticipated in F.Y. 1986, outlays against prior year obligations are anticipated.

3. Technical assistance, U.S. dollars advanced from foreign governments - The Federal Highway Administration renders technical assistance and acts as agent for the purchase of equipment and materials for carrying out highway programs in foreign countries. Currently, these services are being rendered in Costa Rica, Saudi Arabia, and Kuwait . The project responsibility for the Saudi Arabian program was transferred to the Office of the Secretary on October 1, 1985.

4. Contributions for highway research programs - In association with the General Services Administration and the Department of Defense, tests of highway equipment are conducted for the purpose of establishing performance standards upon which to base specifications for use by the Government in purchasing such equipment.

5. Advances from state cooperating agencies - Funds are contributed by the State highway departments or local subdivisions thereof for construction and/or maintenance of roads or bridges. The work is performed under the supervision of the Federal Highway Administration.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

identification code: 69-9971-0-7-151	FY 1985	FY 1986	FY 1987
Program by Activities			
1. Cooperative work, forest highways	986	376	361
2. Technical assistance, U.S. dollars advanced from foreign governments	5,350	4,350	4,302
3. Contributions for highway research programs	50	32	13
4. Advances from State cooperating agencies	548	395	305
10.00 Total obligations	6,934	5,153	4,981
Financing:			
Unobligated balance available, start of year:			
21.40 Appropriation	(1,352)	(1,832)	0
21.49 Contract authority	(245)	(217)	0
Unobligated balance available, end of year:			
24.40 Appropriation	1,832	0	0
24.49 Contract authority	217	0	0
25.00 Unobligated balance lapsing	0	1,218	0
39.00 Budget authority	7,386	4,322	4,981

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code 69-9971-0-7-151	FY 1985	FY 1986	FY 1987
Budget authority: Permanent:			
60.00 Appropriation	7,414	5,140	4,981
60.49 Portion applied to liquidate contract authority	(34)	(818)	...
63.00 Appropriation (adjusted)	7,380	4,322	4,981
69.00 Contract Authority	6	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	6,934	5,153	4,981
Obligated balance, start of year:			
72.40 Appropriation	915	1,260	1,642
72.49 Contract authority	601	601	...
Obligated balance, end of year:			
74.40 Appropriation	(1,260)	(1,642)	(1,038)
74.49 Contract authority	(601)		
90.00 Outlays	6,590	5,372	5,585

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

identification code 69-9971-0-7-151	FY 1985	FY 1986	FY 1987
Personnel Compensation			
11.1 Full-time permanent	1,175	606	606
11.3 Other than Full-time permanen	689	0	0
11.5 Other personnel compensation	486	251	251
11.9 Total personnel compensation	2,350	857	857
Personnel Benefits			
12.1 Civilian	270	88	88
21.0 Travel and transportation of persons	261	253	240
22.0 Transportation of things	98	95	90
23.2 Communication, utilities, and other rent	12	12	11
24.0 Printing and reproduction	800	776	736
25.0 Other services	2,669	2,564	2,478
26.0 Supplies and materials	3	3	3
31.0 Equipment	20	19	17
32.0 Lands and structures	451	446	461
99.0 Total obligations	6,934	5,113	4,981

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code 69-9971-0-7-151	FY 1985	FY 1986	FY 1987
Distribution of budget authority by account			
Cooperative work, forest highways	784	946	961
Technical assistance, U.S. dollars advanced from foreign governments	4,333	3,672	4,002
Contributions for highway research programs		13	13
Advances from State cooperating agenc	632	250	245
Distribution of outlays by account			
Cooperative work, forest highways	(230)	571	504
Technical assistance, U.S. dollars advanced from foreign governments	4,729	4,129	4,380
Contributions for highway research programs	(33)	25	28
Advances from State cooperating agenc	141	327	270
Equipment, supplies, etc. for cooperating countries		309	250
Status of Unfunded Contract Authority			
Unfunded balance, start of year	846	818	
Contract authority	6		
Appropriation to liquidate contract authority	(34)	(818)	
Unfunded balance, end of year	818	0	

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

Personnel Summary

Identification code 69-9971-0-7-151	FY 1985	FY 1986	FY 1987
Total number of full-time permanent positions	30	15	15
Total compensable workyears:			
Full-time equivalent employment	31	16	16

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

GENERAL STATEMENT

This account makes reimbursement for the trust fund share of certain accounts that are funded with both general funds and trust funds (split/funded).

The following programs are handled in this account:

1. Railroad-highway crossings demonstration projects - Various legislation authorized demonstration projects in 18 cities for the purpose of protecting or eliminating certain public ground-level rail-highway crossings, relocating railroad lines from central areas, and the construction of overpasses and underpasses. Additional funding for this program is not being requested for F.Y. 1987.

2. Rail crossings-demonstration projects - The Federal-aid Highway Act of 1970 authorized two demonstration projects. One project is to eliminate public ground-level rail-highway crossings along the route of the Northeast Corridor high-speed rail line between Washington, D.C. and Boston Massachusetts. The other project is to eliminate or protect certain rail-highway crossings in the vicinity of Greenwood, South Carolina, and relocate rail lines bisecting the town proper. Additional funding for this program is not being requested for F.Y. 1987.

3. Rural highway public transportation demonstration projects - The Federal-Aid Highway Act of 1973 authorized demonstration projects for encouraging the development, improvement, and use of public mass transit systems operating vehicles within rural areas. Additional funding for this program is not being requested for F.Y. 1987.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

Program and Financing (in thousands of dollars)

Identification code 69-8009-0-7-401	FY 1985	FY 1986	FY 1987
Program by Activities			
1 Railroad-highway crossings demonstration projects	8,800	16,600	18,276
10.00 Total obligations	8,800	16,600	18,276
Financing			
17.00 Recovery of prior year obligations	-444	...	...
21.40 Unobligated balance available, start of year	-13,379	-24,784	-18,276
24.40 Unobligated balance available, end of year	24,784	18,276	...
25.00 Unobligated balance lapsing	...	575	...
40.00 Budget authority	19,760	10,667	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

Program and Financing (in thousands of dollars)

Identification code 69-8009-0-7-401	FY 1985	FY 1986	FY 1987
Relation of obligations to outlays:			
71.00 Obligations incurred, net	8,800	16,600	18,276
72.40 Obligated balance, start of year	24,874	22,888	27,013
74.40 Obligated balance, end of year	-22,888	-27,013	-29,455
77.00 Adjustment in exp. accounts	-43		
78.00 Adjustments in unexp. accts	-444	...	...
90.00 Outlays	10,298	12,475	15,834
Distribution of budget authority by account:			
Railroad highway crossings demonstration projects	19,760	10,667	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

Program and Financing (in thousands of dollars)

Identification code 69-8009-0-7-401	FY 1985	FY 1986	FY 1987
Distribution of outlays by account			
Railroad-highway crossings demonstration projects	10,137	12,132	15,576
Rail crossings-demonstration projects	19	135	101
Rural highway public transportation demonstration program	-4	37	28
Bicycle program	146	172	129

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Enacted/requested			
Budget authority	19,760	10,667	...
Outlays	10,298	12,475	15,834
Reduction pursuant to P.L. 99-177			
Budget authority	...	-459	...
Outlays	...	-69	-390
Total			
Budget authority	19,760	10,208	...
Outlays	10,298	12,406	15,444

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Trust Fund Share of Other Highway Programs, (Railroad Highway Demonstration Project)

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177), and applicability provision of the Department of Transportation Appropriations Act of FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or $459,000 from the FY 1986 appropriation. It is estimated that this will reduce outlays by $69,000 in FY 1986 and $170,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the planned reductions will take place on March 1, 1986, unless altered by an act of Congress. The program and financing schedules which follow give financial detail on this account.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

The effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on appropriation earmarkings for the trust fund share of the Railroad Highway Crossing Demonstration program.

City	Conference Report Earmarking	P.L. 99-177 Reduction	REVISED EARMARKINGS
Lincoln, Nebraska	2,000,000	(86,000)	1,914,000
Pine Bluff, Arkansas	666,667	(28,667)	638,000
Augusta, Georgia	666,667	(28,667)	638,000
Carbondale, Illinois	2,000,000	(86,000)	1,914,000
Brownsville, Texas	1,666,666	(71,666)	1,595,000
Lafayette, Indiana	3,667,000	(158,000)	3,509,000
	10,667,000	(459,000)	10,208,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS
PURSUANT TO PUBLIC LAW 99-177

Program and Financing (in thousands of dollars)

Identification code: 69-8009-6-7-401	FY 1985	FY 1986	FY 1987
10.00 Total obligations	...	-459	...
Financing:			
40.00 Budget authority	...	-459	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	...	-459	...
72.40 Obligated balance, start of year	...	...	-390
74.40 Obligated balance, end of year	...	390	...
90.00 Outlays	...	-69	-390

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[MOTOR CARRIER SAFETY GRANTS (HIGHWAY TRUST FUND)]

[For necessary expenses to carry out the provisions of section 402 of Public Law 97-424, $17,000,000, to be derived from the Highway Trust Fund and to remain available until September 30, 1989.] (Department of Transportation and Related Agencies Appropration Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS PROGRAM

GENERAL STATEMENT

This program was authorized in the Surface Transportation Assistance Act of 1982 (STAA Report No. 97-987) is used and to make grants to the States for the development or implementation of national programs for the enforcement of Federal or State rules and Regulations concerning Motor Carrier Safety. Federal grants may not be used to maintain efforts already undertaken by State governments. The purpose of the grant program is to raise the level of enforcement, not to substitute Federal for State and local dollars.

The major objective of the program is to reduce the number and severity of hazardous materials accidents involving commercial motor vehicles. To achieve this, grants will be made to qualified States for the development of programs to enforce the Federal Motor Carrier Safety Regulations. The basic program will be targeted at roadside driver and vehicle safety inspections of both interstate and intrastate commercial motor vehicle traffic, as well as roadside inspections of hazardous materials.

FY 1986

It is anticipated that in FY 1986 a combined total of 50 States and Territories will be participating in this program. In P.L. 99-190 (the FY 1986 Appropriation Act), Congress appropriated $16.3 million in funds net of Gramm-Rudman for the Motor Carrier Safety Grants program for FY 1986. The $16.3 million of new authority together with the unobligated balance of prior year appropriations will allow the States to obligate approximately $19.026 million in FY 1986. The FY 1986 objective is to maintain and expand existing State programs and to implement the planned national automated MCSAP data records system essential for effective State and Federal program management.

FY 1987

Beginning in 1987, the Motor Carrier Safety Grants Program is proposed to be merged with the Federal-aid Highways program funds as $50 million set-aside prior to apportionments for the Interstate. It is anticipated that in FY 1987 all States and the Territories will be participating in this program.

MOTOR CARRIER SAFETY GRANTS

State	FY '85 Type of Grant	Amount	FY '86 Type of Grant	Amount
Alabama	Development	$ 42,228	Development	$ 50,000
Alaska		0		0
Arizona	Implementation	278,992	Implementation	462,992
Arkansas	Development	50,000	Implementation	225,000
California	Implementation	1,250,000	Implementation	1,250,000
Colorado	Implementation	357,249	Implementation	358,579
Connecticut	Implementation	213,013	Implementation	225,000
Delaware	Implementation	111,082	Implementation	225,000
Washington, D.C.	Development	50,000	Development	50,000
Florida		0		0
Georgia	Implementation	275,000	Implementation	408,403
Guam	Development	50,000	Development	50,000
Hawaii	Development	32,000	Development	50,000
Idaho	Implementation	506,012	Implementation	671,012
Illinois	Implementation	1,470,452	Implementation	1,250,000
Indiana	Implementation	511,069	Implementation	511,069
Iowa	Implementation	472,338	Implementation	472,338
Kansas	Implementation	301,382	Implementation	301,382
Kentucky		0	Implemnetation	225,898
Louisiana	Development	50,000	Implementation	233,555
Maine	Development	50,000	Implementation	225,000
Marianas		0		0
Maryland	Implementation	281,713	Implementation	281,713
Massachusetts	Development	50,000	Implementation	225,000
Michigan	Implementation	919,379	Implementation	884,163
Minnesota	Implementation	782,936	Implementation	887,238
Mississippi	Development	44,400	Development	50,000
Missouri	Implementation	539,808	Implementation	626,534
Montana	Implementation	337,500	Implementation	315,000
Nebraska	Development	50,000	Development	50,000
Nevada	Implementation	225,000	Implementation	225,000
New Hampshire	Implementation	153,113	Implementation	185,820
New Jersey	Development	50,000	Development	50,000
New Mexico	Development	50,000		0

New York	Development	$ 50,000	Implementation	$ 538,581
North Carolina	Implementation	571,739	Implementation	621,739
North Dakota	Implementation	156,740	Implementation	224,926
Ohio	Implementation	818,321	Implementation	813,322
Oklahoma		0	Development	50,000
Oregon	Implementation	573,007	Implementation	623,007
Pennsylvania	Implementation	570,524	Implementation	570,524
Puerto Rico	Development	50,000	Implementation	150,000
Rhode Island	Development	45,280	Development	40,000
Samoa	Development	50,000	Development	50,000
South Carolina		0	Implementation	225,000
South Dakota	Development	50,000	Implementation	186,278
Tennessee	Implementation	808,458	Implementation	808,458
Texas	Development	48,000		0
Utah	Implementation	357,012	Implementation	357,012
Vermont	Development	49,600	Development	49,600
Virgin Islands	Development	50,000	Development	50,000
Virginia	Development	50,000	Implementation	279,501
Washington	Implementation	402,073	Implementation	507,943
West Virginia	Implementation	102,843	Implementation	104,552
Wisconsin	Implementation	253,141	Implementation	278,224
Wyoming		0		0
Unallocated		***		1,481,637
Total Obligations		$12,111,000		$19,026,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY GRANTS

Program and Financing (in thousands of dollars)

Identification code: 69-8027-0-7-401	FY 1985	FY 1986	FY 1987
Program by activities			
10.00 Motor Carrier Safety Grants (object class 41.0)	12,111	19,757	
Financing			
21.40 Unobligated balance available, start of year	-868	-2,757	
24.40 Unobligated balance available, end of year	2,757		
40.00 Budget authority (appropriation)	14,000	17,000	
Relation of obligations to outlays			
71.00 Obligations incurred, net	12,111	19,757	
72.40 Obligated balance, beginning of year	5,460	8,499	987
74.40 Obligated balance, end of year	-8,499	-987	
90.00 Outlays	9,072	27,269	987

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY GRANTS

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	1985 actual	1986 estimate	1987 estimate
Enacted/requested			
Budget authority	14,000	17,000	
Outlays	9,472	27,864	987
Reduction pursuant to P.L. 99-177			
Budget authority		(731)	
Outlays		(270)	(40)
Total			
Budget authority	14,000	16,269	
Outlays	9,472	27,594	947

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Motor Carrier Safety Grants -

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) and applicability provision of the Department of Transportation Appropriations Act for FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or 731,000 form the FY 1986 appropriation. It is estimated that this will reduce outlays by $676,000 in FY 1986 and $55,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the lanned reductions will take place on March 1, 1986, unless altered by an Act of Congress. The program and financing schedule which follows gives financial detail on this account.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY GRANTS

Program and Financing (in thousands of dollars)

Identification code 69-8027-0-7-401	FY 1985	FY 1986	FY 1987
Program by activities			
10 00 Motor Carrier Safety Grants (object class 41 0)		-731	
Financing			
21 40 Unobligated balance available, start of year			
24 40 Unobligated balance available, end of year			
40 00 Budget authority (appropriation)		-731	
Relation of obligations to outlays			
71 00 Obligations incurred, net		-731	
72 40 Obligated balance, beginning of year			-55
74 40 Obligated balance, end of year		55	
90 00 Outlays		-676	-55

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[BALTIMORE-WASHINGTON PARKWAY] (HIGHWAY TRUST FUND)

[For necessary expenses, not otherwise provided, to carry out the provisions of the Federal-Aid Highway Act of 1970, for the Baltimore-Washington Parkway, to remain available until expended, $3,000,000 to be derived from the Highway Trust Fund and to be withdrawn therefrom at such times and in such amounts as may be necessary: Provided, That notwithstanding subsection (b) of section 146 of the Federal-Aid Highway Act of 1970 and any agreement entered into under such subsection, the Secretary of the Interior shall not be required to convey to the State of Maryland any portion of the Baltimore-Washington Parkway located in the State of Maryland, and the State of Maryland shall not be required to accept conveyance of any such portion: Provided further, That funds authorized by such section may be expended without regard to any requirement of such an agreement that such portion of the Baltimore-Washington Parkway be conveyed to the State of Maryland.] (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
BALTIMORE-WASHINGTON PARKWAY

Program and Financing (in thousands of dollars)

Identification code 69-8014-0-1-401	FY 1985	FY 1986	FY 1987
Program by Activities:			
10.00 Baltimore Washington Parkway (object class 41.0)	...	3,000	...
Financing:			
40.00 Budget authority (appropriation)	...	3,000	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	...	3,000	...
72.40 Obligated balance, beginning of year	545	545	2,727
74.40 Obligated balance, end of year	-545	-2,727	-1,604
90.00 Outlays	0	818	1,124

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

	FY 1985	FY 1986	FY 1987
Enacted/requested:			
Budget authority	...	3,000	...
Outlays	...	818	1,124
Reduction pursuant to P.L. 99-177:			
Budget authority	...	-129	...
Outlays	...	-24	-43
Total:			
Budget authority	...	2,871	...
Outlays	...	794	1,081

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

The Effect of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177) on Baltimore-Washington Parkway.

In accordance with the overall provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (P.L. 99-177), and applicability provision of the Department of Transportation Appropriations Act of FY 1986 (P.L. 99-190), the budget authority is being reduced by 4.3 percent or $129,000 from the FY 1986 appropriation. It is estimated that this will reduce outlays by $24,000 in FY 1986 and $43,000 in FY 1987. The Presidential order to sequester these funds was issued on February 1, 1986, and the planned reductions will take place on March 1, 1986, unless altered by an act of Congress. The program and financing schedules which follow give financial detail on this account.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
BALTIMORE-WASHINGTON PARKWAY
PURSUANT TO PUBLIC LAW 99-177

Program and Financing (in thousands of dollars)

Identification code: 69-0501-6-1-401	FY 1985	FY 1986	FY 1987
Program by Activities:			
10.00 Baltimore Washington Parkway (object class 41.0)	...	-129	...
Financing:			
40.00 Budget authority (appropriation)........	...	-129	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net....	...	-129	...
72.40 Obligated balance, beginning of year............	...	...	-125
74.40 Obligated balance,end of year	...	125	82
90.00 Outlays..............	...	-24	-43

GENERAL PROVISIONS

[SEC. 306. None of the funds provided in this Act may be used for planning or construction of rail-highway crossings under section 322(a) of title 23, United States Code, or under section 701(a)(5) or section 703(1)(A) of the Railroad Revitalization and Regulatory Reform Act of 1976 at the -

(1) School Street crossing in Groton, Connecticut; and

(2) Broadway Extension crossing in Stonington, Connecticut.]

[Sec. 308. None of the funs in this Act shall be used to assist, directly or indirectly, any State in imposing mandatory State inspection fees or sticker requirements on vehicles which are lawfully registered in another State, including vehicles engaged in itnerstate commercial transportation which are in compliance with Part 396--Inspection and Maintenance of the Federal Motor Carrier Safety Regulations of the United States Department of Transportation.]

SEC. [313] 309. (a) For fiscal year [1986] 1987 the Secretary of Transportation shall distribute the obligation limitation for Federal-aid highways by allocation in the ratio which sums authorized to be appropriated for Federal-aid highways and highway safety construction which are apportioned or allocated to each State for such fiscal year bear to the total of the sums authorized to be appropriated for Federal-aid highways and highway safety construction which are apportioned or allocated to all the States for such fiscal year.

(b) During the period October 1 through December 31, [1986] 1987, no State shall obligate more than 40 per centum of the amount distributed to such State under subsection (a), and the total of all State obligations during such period shall not exceed 25 per centum of the total amount distributed to all States under such subsection.

(c) Notwithstanding subsection (a) and (b), the Secretary shall -

(1) provide all States with authority sufficient to prevent lapses of sums authorized to be appropriated for Federal-aid highways and highway safety construction which have been apportioned to a State, except in those instances in which a State indicates its intention to lapse sums apportioned under section 104(b)(5)(A) of title 23, United States Code:

(2) after August 1, [1986] 1987, revise a distribution of the funds made available under subsection (a) if a State will not obligate the amount distributed during that fiscal year and redistribute sufficient amounts to those States able to obligate amounts in addition to those previously distributed during that fiscal year giving priority to those States having large unobligated balances of funds apportioned under Section 104 of Title 23, United States Code, and giving priority to those States which, because of statutory changes made by the Surface Transportation Assistance Act of 1982 and the Federal-Aid Highway Act of 1981, have experienced substantial proportional reductions in their apportionments and allocations: and

(3) not distribute amounts authorized for administrative expenses [and] the Federal Lands Highway Program, the Highway and Transit Block Grant, the Motor Carrier Safety Grants Program.

[SEC. 316. The limitation on obligations for Federal-aid highways and highway safety construction programs for fiscal year 1986 shall not apply to obligations for the remaining approach and bridge removal work necessary to complete the new bridge alignment for the Zilwaukee Bridge.]

[SEC. 324. (a) GENERAL RULE-Tolls collected for motor vehicles on any bridge connecting the borough of Brooklyn, New York, and Staten Island, New York, shall only be collected for those vehicles exiting from such bridge in Staten Island.]

[(b) ENFORCEMENT.-The Secretary shall withhold 1 percent of the amount required to be apportioned to the State of New York under sections 104 and 144 of title 23, United States Code, on the first day of the fiscal year succeeding any fiscal year in which tolls collected for motor vehicles on the bridge referred to in subsection (a) are collected for those vehicles exiting from such bridge in the borough of Brooklyn.]

[(c) PERIOD OF APPLICABILITY.-This section shall apply on and after the 90th day following the date of enactment of this section, except that this section shall not apply after the date on which the Secretary publishes in the Federal Register a determination under subsection (d).]

[(d) REMOVAL OF LIMITATION.-

(1) DETERMINATION OF SECRETARY.-Subsections (a) and (b) shall cease to be in effect if, upon petition by the Governor of New York under paragraph (2), the Secretary determines that-

(A) a substantial loss of revenues has resulted from the limitation imposed by subsection (a), or

(B) such limitation has resulted in significant traffic problems,

(2) PETITION.-The Governor of New York may petition the Secretary for a determination under paragraph (1) at any time after a period of six consecutive months in which tolls collected for motor vehicles on the bridge referred to in subsection (a) have been collected only for those vehicles exiting from such bridge in Staten Islands.]

[SEC. 325. Notwithstanding section 127 of title 23, United States Code, the State of Wyoming may conduct a demonstration project for a period not to exceed two years in order to determine the effects on the National System of Interstate and Defense Highways located in Wyoming of the use of such highways by vehicles in excess of 80,000 pounds gross weight but meeting axle and bridge formula specifications in section 127 of title 23, United States Code.]

[SEC. 327. Section 119(d), 23 U.S.C. is amended by adding at the end of such section: "Notwithstanding any other provision of law, and for the purposes of this subsection, the phrase 'segments of the interstate system open to traffic' shall include a proposed four-lane, limited access highway, 6.4 miles in length, the construction of which will relocate to a southern alignment a portion of an existing interstate highway which was originally built without the aid of funds authorized by section 108(b) of the Federal-Aid Highway Act of 1956, as amended, and which connects the east with an interstate highway on which tolls are charged. The construction of the proposed highway shall include a bridge over the Monongahela River.".]

[SEC. 329. Notwithstanding section 108(b) of the Federal-Aid Highway Act of 1956, sums appropriated to the State of New York under 23 U.S.C. 104(b)(5)(A) during the fiscal year ending September 30, 1986, may be obligated for Interstate construction projects under section 108(b) of the Federal-Aid Highway Act of 1956 or for Interstate substitute highway projects under 23 U.S.C. 103(e)(4): Provided, That the withdrawal value for New York under 23 U.S.C. 103(e)(4) shall be reduced by the amounts obligated hereunder for Interstate highway substitute projects. The federal share of the cost to complete any such Interstate substitute highway projects to which this provision applies shall be 85 per centum. In carrying out this provision the State of New York and the Secretary of Transportation shall assign highest priority to the completion of Interstate construction projects. This section shall expire on October 1, 1986.]

[SEC. 333. The Act approved July 28, 1937 (50 Stat. 535), is amended by striking out in the first paragraph thereof, "and approaches thereto" and by inserting at the end thereof "The States of Maine and New Hampshire are authorized to assume all construction, maintenance, and operational authority over the approach roads and grade separation structures in their respective areas. As provided in Maine Private and Special Law, Chapter 38, 1985, and New Hampshire Statutes, Chapter 415, 1985, the respective States shall require the Authority to provide Authority funds for capital improvements.".]

[SEC. 334. Notwithstanding any other provision of law, the first sentence of section 125(b) of title 23, United States Code, is amended by inserting after "$30,000,000" the following: "($55,000,000 for projects in connection with disasters or failures occuring in calendar year 1985)".]

NEW ODD PAGE

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1987

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
FISCAL YEAR 1987 CONGRESSIONAL REQUEST

Table of Contents

ITEM — PAGE NO.

ORGANIZATIONAL CHART.................................. 1
SUMMARY STATEMENTS.................................. 2

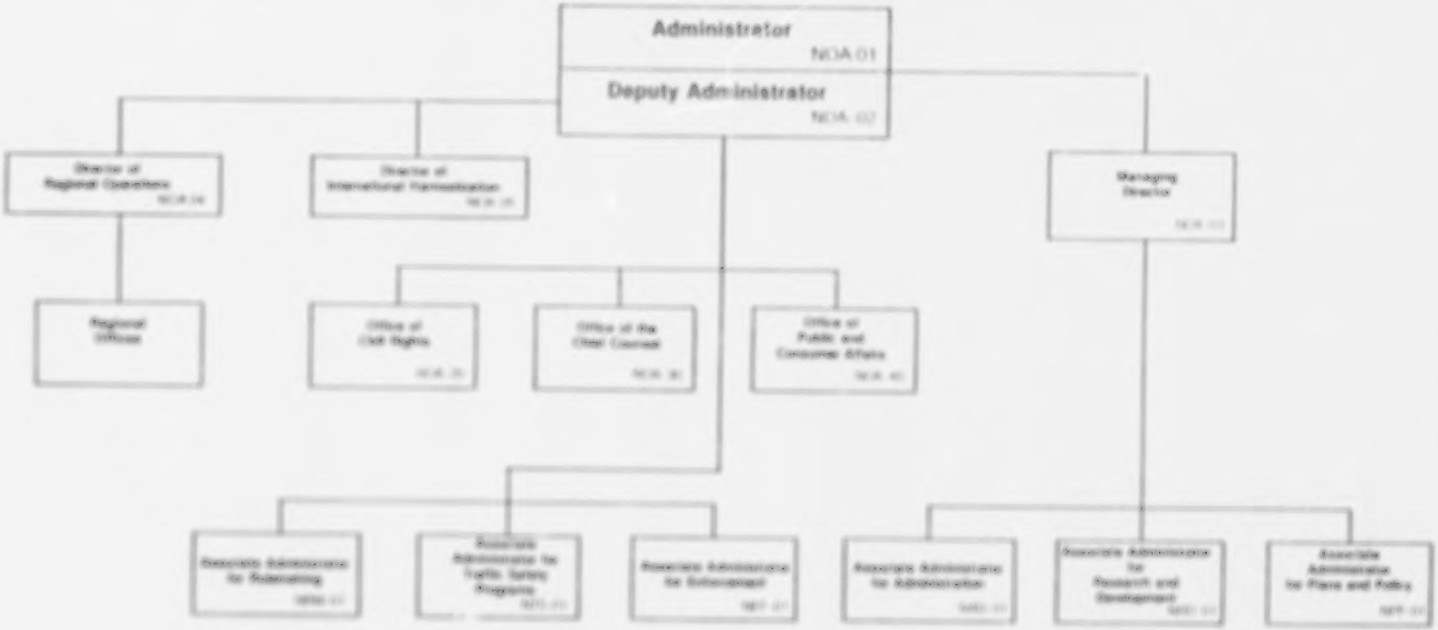
OPERATIONS AND RESEARCH:
  President's Budget Schedules...................... 4
  Analytical Tables.................................. 10
  Rulemaking Programs................................ 22
  Enforcement Programs............................... 35
  Highway Safety Programs............................ 46
  Research and Analysis.............................. 97
  Office of the Administrator........................ 124
  General Administration............................. 129

MISCELLANEOUS SAFETY PROGRAMS:
  President's Budget Schedule........................ 139

TRUST FUND SHARE OF OPERATIONS AND RESEARCH:
  President's Budget Schedules....................... 140

HIGHWAY TRAFFIC SAFETY GRANTS:
  President's Budget Schedules....................... 145
  Safety Formula Grants.............................. 151
  Alcohol Safety Incentive Grants.................... 162
  Highway Safety Education and Information........... 167

National Highway Traffic Safety Administration


Administrator
NOA-01
Deputy Administrator
NOA-02
Director of Regional Operations
Director of International Harmonization
Managing Director
Regional Offices
Office of Civil Rights
Office of the Chief Counsel
Office of Public and Consumer Affairs
Associate Administrator for Rulemaking
Associate Administrator for Traffic Safety Programs
Associate Administrator for Enforcement
Associate Administrator for Administration
Associate Administrator for Research and Development
Associate Administrator for Plans and Policy

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

[illegible]

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

SUMMARY STATEMENT

The National Highway Traffic Safety Administration was established as a separate organizational entity in the Department of Transportation in March 1970. It succeeded the National Highway Safety Bureau, which had previously administered traffic and highway safety functions as a constituent organizational unit of the Federal Highway Administration.

NHTSA's programs are authorized under three major laws: the National Traffic and Motor Vehicle Safety Act, Chapter 4, of Title 23 U.S.C., and the Motor Vehicle Information and Cost Savings (MVICSA) Act. The first law provides for the establishment and enforcement of safety standards for vehicles and associated equipment, and for supporting research including the acquisition of required testing facilities, and the operation of the National Driver Register (NDR). Discrete authorizations were subsequently established for the NDR under the National Driver Register Act of 1982.

Title 23 U.S.C. Chapter 4, provides for coordinated national highway safety grant programs to be carried out with the States, (Section 402) together with supporting highway safety research, development, demonstration (Section 403) and highway safety education and information (Section 208) programs. An amendment to Chapter 4, enacted in October 1982, authorized a program of alcohol safety incentive grants to the States to reduce traffic safety problems resulting from persons driving while under the influence of alcohol (Section 408).

The third law (MVICSA) provides for the establishment of low-speed collision bumper standards, consumer information activities, diagnostic inspection demonstration projects, and odometer regulations. An amendment to this law established the Secretary's responsibility for the administration of mandatory automotive fuel economy standards which was delegated to NHTSA.

Resource requirements associated with the implementation of these statutory responsibilities are summarized as follows:

(Dollars in thousands)

	FY 1986 Enacted	FY 1986 After Sequestration	FY 1987 Request
OPERATIONS AND RESEARCH			
Budget Authority:			
Traffic and Motor Vehicle Safety Programs	$ [illegible]	$ [illegible]	$ [illegible]
Automotive Fuel Economy and Consumer Information	[illegible]	[illegible]	[illegible]
Subtotal, Budget Authority	[illegible]	[illegible]	[illegible]
TRUST FUND SHARE OF OPERATIONS AND RESEARCH (23 USC 403)			
Budget Authority	[illegible]	[illegible]	[illegible]
Transfer	[illegible]	[illegible]	
Subtotal, Budget Authority and Transfer	[illegible]	[illegible]	[illegible]
Total Program Level	[illegible]	[illegible]	[illegible]
HIGHWAY TRAFFIC SAFETY GRANTS			
Program Level (Obligations):			
Safety Formula Grants	$[illegible]	$[illegible]	$[illegible]
Grant Administration	[illegible]	[illegible]	[illegible]
Subtotal - Subject to Limitation	[illegible]	[illegible]	[illegible]
Alcohol Safety Incentive Grants	[illegible]	[illegible]	[illegible]
Total Obligations	[illegible]	[illegible]	[illegible]

Funds of $[illegible] are included in the 1987 request for the Operations and Research Appropriation for the Department of Transportation's Working Capital Fund.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH
FEDERAL FUNDS

[(INCLUDING TRANSFERS OF FUNDS)]

For expenses necessary to discharge the functions of the Secretary with respect to traffic and highway safety and functions under the Motor Vehicle Information and Cost Savings Act (Public Law 92-513, as amended), [$88,851,000] $83,930,000, of which [$5,000,000 shall be derived from unobligated balances of "Research training, and human resources", and of which $29,894,000] $29,040,000 shall be derived from the Highway Trust Fund: Provided, That not to exceed [$36,296,000] $36,327,000 shall remain available until expended, of which [$14,833,000] $14,975,000 shall be derived from the Highway Trust Fund [: Provided further, That, of the funds available under this head, $10,000,000 shall be available to implement the recommendations of the 1985 National Academy of Sciences report on trauma research: Provided further, That for the purpose of carrying out a national program to encourage the use of automobile passive restraints as authorized by 23 U.S.C. 403, an additional $500,000 is available to be derived from unobligated balances of "Carpool and vanpool projects"] . (Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190; additional authorizing legislation to be proposed.)

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
Program and Financing (in thousands of dollars)

Identification code 69-0650-01-401		1985	1986	1987
	Program by activities:			
	Direct program:			
00.01	Rulemaking programs........	7,125	7,040	7,191
00.02	Enforcement programs.......	11,736	11,400	11,623
00.03	Highway safety programs....	5,602	4,505	3,156
00.04	Research and analysis......	27,074	26,417	25,735
00.05	Office of the Administrator	1,611	1,724	1,771
00.06	General Administration.....	5,501	5,009	5,414
00.91	Total direct programs....	58,650	56,095	54,890
01.01	Reimbursable program.........	30,580	42,194	35,740
10.00	Total obligations........	89,230	98,289	90,630
	Financing:			
	Offsetting collections from:			
11.00	Federal funds............	-957	-900	-900
13.00	Trust funds..............	-28,943	-40,394	-33,940
14.00	Non-Federal funds.........	-679	-900	-900
17.00	Recovery of prior year obligations..............	-380	...	...
21.40	Unobligated balance available, start of year......	-2,858	-8,138	...
22.40	Unobligated balance transferred, net.........	-6,000	...	...
23.40	Unobligated balance rescinded (P.L. 99-88)...	808	6,000	...
24.40	Unobligated balance available, end of year........	8,138	...	...
25.00	Unobligated balance lapsing..................	161	...	...
40.00	Budget authority (appropriation)........	58,519	53,957	54,890
	Relation of obligations to outlays:			
71.00	Obligations incurred, net...	58,650	56,095	54,890
72.40	Obligated balance start of year..................	28,249	25,868	22,018
74.40	Obligated balance, end of year......................	-25,868	-22,018	-21,488
77.00	Adjustments in expired accounts.................	-444	...	...
78.00	Adjustments in unexpired accounts.................	-380	...	...
90.00	Outlays...............	60,207	59,945	55,420

DEPARTMENT OF TRANSPORTATION

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

PROGRAM AND PERFORMANCE

Operations and Research Programs are frozen to near the 1986 level except for an expansion in the National Occupant Protection Program.

1. Rulemaking Programs - Covers rulemaking activity relative to the promulgation of Federal motor vehicle safety standards for new and used motor vehicles, tires, and equipment; automotive fuel economy standards required by the Energy Policy and Conservation Act; international harmonization of standards; theft prevention; regulatory reform; and information on motor vehicle safety required by the Motor Vehicle Information and Cost Savings Act.

2. Enforcement Programs - Provides for the enforcement of programs described under the rulemaking activity, including manufacturer compliance with motor vehicle safety and automotive fuel economy standards, investigation of safety-related motor vehicle defects, and surveillance of odometer tampering.

3. Highway Safety Programs - Provides for technical assistance to the States in the conduct of their highway safety programs; demonstration programs emphasizing alcohol countermeasures, safety belt and child safety seat usage, improved traffic law enforcement, emergency medical services, and enhanced traffic records systems to reduce highway fatalities and injuries; and operation and improvement of the national driver register. A National Occupant Protection Program will be underway in 1986 and 1987 to implement the Secretary of Transportation's decision on Federal Motor Vehicle Safety Standard 208, occupant protection. The program will promote the usage of safety belts and automatic protection.

4. Research and Analysis - Provides motor vehicle safety and highway safety research and development in support of all NHTSA programs, including the collection and analysis of data to identify safety problems, develop alternative solutions, and assess costs, benefits, and effectiveness. Research will continue to concentrate on improving vehicle crashworthiness, accident avoidance characteristics of cars, trucks and motorcycles, safety belt usage and alcohol countermeasures. The budget includes funds to continue a national accident data collection program to improve problem identification, regulatory reform, and program evaluation activities.

5. Office of the Administrator - Provides for the overall executive direction, coordination and implementation of agency programs. Includes legal, public affairs, civil rights and executive secretariat support for programs of this administration.

6. General Administration - Provides for the planning, program evaluation, and basic administrative and supporting services for programs of this administration.

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STANDARD FORM 304
May 1969 Bureau of the Budget
Circular No. A-11 Revised
304-103

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-0650-0-1-401	1985 actual	1986 estimate	1987 estimate
Personnel compensation:			
11.1 Permanent positions	15,572	16,123	16,123
11.3 Positions other than permanent	961	778	778
11.5 Other personnel compensation	186	119	171
~~11.8 Special personal services payments~~			
11.9 Total personnel compensation	16,719	17,020	17,072
Personnel benefits:			
12.1 Civilian	1,769	1,878	1,878
13.0 Benefits for former personnel	50	0	0
21.0 Travel and transportation of persons	374	472	472
22.0 Transportation of things	47	119	134
23.1 Standard level user charges	1,545	1,536	2,311
23.3 Other rent, communications and utilities	836	669	683
24.0 Printing and reproduction	823	717	773
25.0 Other services	33,925	32,019	29,736
26.0 Supplies and materials	289	256	286
31.0 Equipment	2,273	1,410	1,546
~~32.0 Lands and structures~~			
~~33.0 Investments and loans~~			
~~41.0 Grants, subsidies and contributions~~			
~~42.0 Insurance claims and indemnities~~			
~~43.0 Interest and dividends~~			
~~44.0 Refunds~~			
99.0 Subtotal, direct obligations	58,650	56,095	54,890
99.0 Reimbursable obligations	30,580	42,194	35,740
99.0 Total obligations	89,230	98,289	90,630
(Mono case 20.11)	(Mono case 5.9)	(Mono case 5.9)	(Mono case 5)

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
Personnel Summary

Identification code 69-0650-0-1-401	1985 actual	1986 estimate	1987 estimate
Total number of full-time permanent positions	498	497	497
Total compensable workyears:			
Full-time equivalent employment	518	532	514
Full-time equivalent of overtime and holiday hours	1	2	2

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

Reduction Pursuant to Public Law 99-177
Program and Financing (in thousands of dollars)

Identification code 69-0650-6-1-401	19 85 actual	19 86 estimate	19 87 estimate
Program by activities:			
10.00 Total obligations	....	-2,320	....
Financing:			
40.00 Budget authority (appropriation)	....	-2,320	....
Relation of obligations to outlays:			
71.00 Obligations incurred net	....	-2,320	....
72.40 Obligated balance, start of year	....	....	-812
74.40 Obligated balance, end of year	....	812	212
90.00 Outlays	....	-1,508	-600

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177.

(Idem omit: 21.6) (Idem omit: 6) (Idem omit: 6) (Idem omit: 4.8)

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH
APPROPRIATION

The Operations and Research appropriation provides funding for salaries and expenses, operating expenses and contract programs of the National Highway Traffic Safety Administration. The resources for this account are derived from both direct appropriations, transfers and reimbursements from the Highway Traffic Safety Grants account.

The following tables reflect O&R budget authority plus transfers from other DOT Administrations in FY 1986, plus Grants reimbursements for FY 1986 - FY 1987 in terms of both program requirements and object-of-expense categories.

(000's)

Budget Activities	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request	Change
Rulemaking Programs	$ 7,040	$ 6,737	$ 7,191	+$454
Enforcement Programs	11,400	10,910	11,623	+713
Highway Safety Programs				
Appropriation	16,951	16,383	20,600	+4,217
Transfers	500	500	...	-500
Subtotal	17,451	16,883	20,600	+3,717
Research and Analysis Programs				
Appropriation	43,261	41,401	38,625	-2,776
Transfers	5,000	5,000	...	-5,000
Subtotal	48,261	46,401	38,625	-7,776
Office of the Administrator	2,652	2,551	2,713	+162
General Administration	7,547	7,049	8,078	+1,029
Total funding	$94,351	$90,531	$88,830	-$1,701
Appropriation	($83,851)	($80,246)	($83,930)	(+$3,684)
Transfers	($ 5,500)	($5,500)	(...)	(-$5,500)
Reimbursements	($ 5,000)	($4,785)	($4,900)	(+$115)

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
Summary of Requirements
(Dollars in Thousands)

	FY 1986 AFTER SEQUESTERING									
	Oper & Research 1/	HTSG Sec. 402	Total	Merit Pay	Base Adjustments	FY 1987 Adjusted Base	Program Changes	Oper. & Research	HTSG Sec. 402	Total
Object-of-Expense Categories:										
Personnel Compensation & Benefits	$25,919	$4,386	$30,305	+$78	+$479	$30,862	$-100	$26,476	$4,286	$30,762
Travel & Transportation of Persons	723	90	813	...	+100	913	...	823	90	913
Transportation of things	149	...	149	...	+21	170	+11	181	...	181
Administrative	(46)	...	(46)	...	(+17)	(63)	(...)	(63)	...	(63)
Contract program	(103)	...	(103)	...	(+4)	(107)	(+11)	(118)	...	(118)
Standard level user charges	1,879	101	1,980	...	+1,467	3,447	...	3,272	175	3,447
Communications, utilities, and other rent	851	87	938	...	+212	1,150	...	1,003	147	1,150
Printing and reproduction	931	...	931	...	+229	1,160	...	1,160	...	1,160
Other Services:	53,146	60	53,206	...	-7,451	45,755	+2,888	48,541	102	48,643
Administrative	(3,115)	(60)	(3,175)	...	(+537)	(3,712)	...	(3,610)	(102)	(3,712)
Contract program	(50,031)	(...)	(50,031)	...	(-7,988)2/	(42,043)	(+2,888)	(44,931)	(...)	(44,931)
Supplies and materials	320	30	350	...	+50	400	+20	370	50	420
Administrative	(62)	(30)	(92)	...	(+40)	(132)	(...)	(82)	(50)	(132)
Contract program	(258)	(...)	(258)	...	(+10)	(268)	(+20)	(296)	(...)	(296)
Equipment	1,828	31	1,859	...	+106	1,965	+181	2,096	50	2,146
Administrative	(125)	(31)	(156)	...	(+39)	(195)	(...)	(145)	(50)	(195)
Contract program	(1,703)	(...)	(1,703)	...	(+67)	(1,770)	(+181)	(1,951)	(...)	(1,951)
Total Requirements	85,746	4,785	90,531	+78	-$4,787	85,822	+3,000	83,930	4,900	88,830
Personnel compensation and benefits	$25,919	$4,386	$30,305	+$78	+$479	$30,862	-$100	$26,476	$4,286	$30,762
Travel	723	90	813	...	+100	913	...	823	90	913
Operating expenses	7,009	309	7,318	...	+2,541	9,859	...	9,335	524	9,859
Contract program	52,095	...	52,095	...	-7,907	44,188	+3,108	47,296	...	47,296
Total	$85,746	$4,785	$90,531	+$78	-$4,787	$85,822	+$3,008	$83,930	$4,900	$88,830

1/ Including transfers of $5.5 million.

2/ Deletes funding for Trauma Research.

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

Summary of Requirements
(Dollars in Thousands)

FY 1986 After Sequestering $90,531

Merit Pay +$78

This estimate provides for mandatory merit pay increases which will occur in FY 1987.

Base Adjustments -$4,787

After the deletion of non-recurring funding for trauma research (-$10 million), base adjustment increases include $3.8 million to establish the 1987 request at levels enacted for 1986. Additional base adjustments include an increase of $1,393 thousand for mandatory Standard Level User Charges (+$1,100) and $293 thousand for printing, rent, communications, utilities and working capital fund costs which will increase in FY 1987.

Program Changes +$3,008

The largest increase in this category is for Safety Belt Usage to further implement the Secretary's decision on Federal Motor Vehicle Safety Standard 208, Occupant Protection.

FY 1987 Appropriation $88,830

Department of Transportation
National Highway Traffic Safety Administration
Comparison of FY 1986 - FY 1987 Appropriation Components
By Program Line Item
(Dollars in Thousands)

	FY 1986 Enacted			FY 1986 after Sequestering			FY 1987 Request		
	Federal Funds	Trust Funds	Total	Federal Funds	Trust Funds	Total	Federal Funds	Trust Funds	Total
Rulemaking Programs									
Permanent Positions	88	0	88	88	0	88	88	0	88
Dollars:									
(a) Salaries & Expenses	$4,688	$0	$4,688	$4,601	0	$4,601	$4,696	$0	$4,696
(b) Operating Expenses	597	0	597	456	0	456	760	0	760
(c) Contract Program:									
Vehicle Safety & Consumer Standards	905	0	905	830	0	830	905	0	905
Automotive Consumer Programs	850	0	850	850	0	850	850	0	850
Subtotal	1,755	0	1,755	1,680	0	1,680	1,755	0	1,755
Total, Rulemaking Programs	7,040	0	7,040	6,737	0	6,737	7,191	0	7,191
Enforcement Programs									
Permanent Positions	101	0	101	101	0	101	101	0	101
Dollars:									
(a) Salaries & Expenses	4,528	0	4,528	4,434	0	4,434	4,540	0	4,540
(b) Operating Expenses	1,180	0	1,180	1,029	0	1,029	1,391	0	1,391
(c) Contract Program:									
Vehicle Safety Compliance	3,675	0	3,675	3,480	0	3,480	3,675	0	3,675
Defects Investigation	2,017	0	2,017	1,967	0	1,967	2,017	0	2,017
Subtotal	5,692	0	5,692	5,447	0	5,447	5,692	0	5,692
Total, Enforcement Programs	11,400	0	11,400	10,910	0	10,910	11,623	0	11,623

Department of Transportation
National Highway Traffic Safety Administration
Comparison of FY 1986 - FY 1987 Appropriation Components
By Program Line Item
(Dollars in Thousands)

	FY 1986 Enacted			FY 1986 after Sequestering			FY 1987 Request		
	Federal Funds	Trust Funds	Total	Federal Funds	Trust Funds	Total	Federal Funds	Trust Funds	Total
Highway Safety Programs									
Permanent Positions	23	151	174	23	151	174	23	151	174
Dollars:									
(a) Salaries & Expenses	$1,247	$8,253	$9,500	$1,222	$8,170	$9,392	$1,756	$8,169	$9,925
(b) Operating Expenses	159	596	755	123	460	583	151	864	$1,015
(c) Contract Program:									
Alcohol Countermeasures Program	0	2,152	2,152	0	2,147	2,147	0	2,152	$2,152
National Occupant Protection Program	0	1,923	1,923	0	1,923	1,923	0	5,000	$5,000
Countermeasures Improvement & Support	0	1,115	1,115	0	1,021	1,021	0	1,115	$1,115
Improvement of State Program Management Capability	1,796	210	2,006	1,719	98	1,817	1,751	144	$1,895
Subtotal	1,796	5,400	7,196	1,719	5,189	6,908	1,751	8,411	10,162
Total, Highway Safety Programs	3,202	14,249	17,451	3,064	13,819	16,883	3,658	17,444	21,102
Research and Analysis									
Permanent Positions	95	47	142	95	47	142	95	47	142
Dollars:									
(a) Salaries and Expenses	4,934	1,959	6,893	4,815	1,920	6,735	4,947	1,964	6,911
(b) Operating Expenses	1,831	887	2,718	1,619	844	2,463	1,971	951	2,922
(c) Contract Program:									
Motor Vehicle Research	13,782	0	13,782	11,201	0	11,201	10,792	0	10,792
Highway Safety Research	0	2,727	2,727	0	2,611	2,611	0	2,849	2,849
Trauma	0	10,000	10,000	0	9,585	9,585	0	0	0
National Center for Stat. & Analysis	6,835	7,136	13,971	7,467	6,799	14,266	8,035	7,126	15,161
Subtotal	20,617	19,863	40,480	18,668	18,995	37,663	18,827	9,975	28,802
Total, Research & Analysis	27,382	22,709	50,091	25,102	21,759	46,861	25,745	12,890	38,635

Department of Transportation
National Highway Traffic Safety Administration
[illegible]

[illegible]

[illegible]

	[illegible]		[illegible]		[illegible]		[illegible]		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
[illegible]										
Salaries and Supporting Exp.										
Direct Program	[illegible]	[illegible]	[illegible]	[illegible]					[illegible]	[illegible]
Program Support	[illegible]	[illegible]	[illegible]	[illegible]					[illegible]	[illegible]
Operating Expenses		[illegible]	—	[illegible]						[illegible]
Contract Program		[illegible]		[illegible]						[illegible]
Subtotal	[illegible]	[illegible]	[illegible]	[illegible]					[illegible]	[illegible]
[illegible]										
Salaries and Supporting Exp.										
Direct Program	[illegible]	[illegible]	[illegible]	[illegible]					[illegible]	[illegible]
Program Support	[illegible]	[illegible]	[illegible]	[illegible]					[illegible]	[illegible]
Operating Expenses	—	[illegible]		[illegible]						[illegible]
Contract Program	—	[illegible]		[illegible]						[illegible]
Subtotal	[illegible]	[illegible]	[illegible]	[illegible]					[illegible]	[illegible]
[illegible]										
Salaries and Supporting Exp.										
Direct Program	[illegible]	[illegible]	—	—	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Program Support	—	[illegible]	—	—	[illegible]	[illegible]	—	—	[illegible]	[illegible]
Operating Expenses	—	[illegible]	—	—	—	[illegible]	—	—	—	[illegible]
Contract Program	—	[illegible]	—	—	—	[illegible]	—	—	—	[illegible]
Subtotal	[illegible]	[illegible]	—	—	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]										
Salaries and Supporting Exp.										
Direct Program	[illegible]	[illegible]	—	—	[illegible]	[illegible]	—	—	[illegible]	[illegible]
Program Support	[illegible]	[illegible]	—	—	[illegible]	[illegible]	—	—	[illegible]	[illegible]
Operating Expenses	—	[illegible]	—	—	—	[illegible]	—	—	—	[illegible]
Contract Program	—	[illegible]	—	—	—	[illegible]	—	—	—	[illegible]
Subtotal	[illegible]	[illegible]	—	—	[illegible]	[illegible]	—	—	[illegible]	[illegible]
[illegible]										
Salaries and Supporting Exp.	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Operating Expenses	—	[illegible]	—	[illegible]	—	[illegible]	—	[illegible]	—	[illegible]
Contract Program	—	[illegible]	—	—	—	[illegible]	—	[illegible]	—	[illegible]
Subtotal	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Breakdown of Resource Requirements by Enabling Act - FY 1986 - After Sequestering
(Budget Authority) (000's)

	Operations & Res.		Federal Funds		HTF - Sec. 403		HTF - Sec. 402			
	Traf. & Mot. Veh. Safety Programs		Auto. Fuel Econ. & Consumer Info.		Highway Safety Res. & Develop.		Highway Traffic Safety Grants		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
GENERAL ADMINISTRATION										
Salaries and Supporting Exp.	52	2,162	5	218	20	819	11	463	88	3,662
Operating Expenses	---	1,439	---	276	---	486	---	329	---	2,530
Contract Program	---	543	---	96	---	218	---	0	---	857
Subtotal	52	4,144	5	590	20	1,523	11	792	88	7,049
SUMMARY										
Salaries and Supporting Exp.	362	16,987	29	1,963	193	7,692	58	4,476	642	31,118
Operating Expenses	---	4,712	---	484	---	1,813	---	309	---	7,318
Contract Program	---	26,547	---	946	---	24,602	---	0	---	52,095
Total	362	48,246	29	3,393	193	34,107	58	4,785	642	90,531

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Breakdown of Resource Requirements by Enabling Act - FY 1986 - Enacted
(Budget Authority) (000's)

	Operations & Res.		(Federal Funds)		HTF - Sec. 403		HTF - Sec. 402			
	Traf. & Mot. Veh. Safety Programs		Auto. Fuel Econ. & Consumer Info.		Highway Safety Res. & Develop.		Highway Traffic Safety Grants		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
RULEMAKING										
Salaries and Supporting Exp.										
Direct Program	44	2,460	19	1,048	...	...	...	...	63	3,508
Mission Support	19	897	6	283	...	...	...	...	25	1,180
Operating Expenses	...	411	...	186	...	...	...	...	...	597
Contract Program	...	905	...	850	...	...	...	...	...	1,755
Subtotal	63	4,673	25	2,367	...	...	...	...	88	7,040
ENFORCEMENT										
Salaries and Supporting Exp.										
Direct Program	87	3,867	5	213	...	...	...	...	92	4,080
Mission Support	8	398	1	50	...	...	...	...	9	448
Operating Expenses	...	1,132		48	...	...	...	...	...	1,180
Contract Program	...	5,690	...	2	...	...	...	...	...	5,692
Subtotal	95	11,087	6	313	...	...	...	...	101	11,400
HIGHWAY SAFETY										
Salaries and Supporting Exp.										
Direct Program	23	1,247	...	...	63	4,130	80	3,751	166	9,128
Mission Support	...	0	...	...	8	372	...	...	8	372
Operating Expenses	...	159	...	...	...	596	...	...	...	755
Contract Program	...	1,796	...	...	...	5,400	...	...	...	7,196
Subtotal	23	3,202	...	...	71	10,498	80	3,751	174	17,451
RESEARCH & ANALYSIS										
Salaries and Supporting Exp.										
Direct Program	97	4,843	...	...	40	1,868	...	...	137	6,711
Mission Support	2	91	...	...	2	91	...	...	4	182
Operating Expenses	...	1,831	...	...	...	887	...	...	...	2,718
Contract Program	...	18,817	...	...	...	19,833	...	...	...	38,650
Subtotal	99	25,582	...	...	42	22,679	...	...	141	48,261
OFFICE OF THE ADMINISTRATOR										
Salaries and Supporting Exp.	48	1,321	3	165	10	545	7	302	68	2,333
Operating Expenses	...	208	...	30	...	81	...	0	...	319
Contract Program	...	0	...	...	...	0	...	0	...	0
Subtotal	48	1,529	3	195	10	626	7	302	68	2,652

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Breakdown of Resource Requirements by Enabling Act - FY 1986 - Enacted
(Budget Authority: (000's))

	Operations & Res.		(Federal Funds)		HTF - Sec. 403		HTF - Sec. 402			
	Traf. & Mot. Veh. Safety Programs		Auto. Fuel Econ. & Consumer Info.		Highway Safety Res. & Develop		Highway Traffic Safety Grants		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
GENERAL ADMINISTRATION										
Salaries and Supporting Exp.	52	2,243	5	244	20	845	11	423	88	3,755
Operating Expenses	...	1,559	...	295	...	519	...	524	...	2,897
Contract Program	...	568	...	100	...	227	...	0	...	895
Subtotal	52	4,370	5	639	20	1,591	11	947	88	7,547
SUMMARY										
Salaries and Supporting Exp.	360	17,367	39	2,003	143	7,851	98	4,476	640	31,697
Operating Expenses	...	5,300	...	559	...	2,083	...	524	...	8,466
Contract Program	...	27,778	...	950	...	25,460	...	0	...	54,188
Total	360	50,445	39	3,512	143	35,394	98	5,000	640	94,351

RULEMAKING PROGRAMS
(Dollars in thousands)

	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request	Increase(+) or Decrease(-)
Positions	88	88	88	...
Dollars:				
Salaries and Expenses..	$4,688	$4,601	$4,696	+$95
Operating Expenses..	597	456	740	+284
Contract Program.....	1,755	1,680	1,755	+ 75
Total	$7,040	$6,737	$7,191	+$454

Financing:

These activities are financed entirely from Federal Funds.

FUNCTION:

The Rulemaking Programs budget provides for activities which include the promulgation of Federal motor vehicle safety standards under the National Traffic and Motor Vehicle Safety Act, automotive fuel economy standards promulgated under the Energy Policy and Conservation Act, and various consumer information programs authorized by the National Traffic and Motor Vehicle Information and Cost Saving Act.

The Rulemaking Program offices develop and recommend safety performance test procedures, devices, criteria, and standards for vehicles and associated equipment, including tires, manufactured or imported for introduction into interstate commerce. In this work, the offices consider the need for motor vehicle safety cost impacts, manufacturing lead time requirements, and the relationship between new requirements and existing standards or other design and performance aspects of motor vehicles. The offices plan, develop, coordinate, and propose corporate average fuel economy standards for passenger and non-passenger vehicles up to 10,000 pounds gross vehicle weight rating, adjustments to such standards, a vehicle theft protection program and procedural regulations for dissemination of such information. Also, the offices cooperate with voluntary standards organizations that are active in these areas, and work to encourage voluntary actions by the industry.

Breakdown of Staffing Resource Requirements
(Dollars in thousands)

-POSITIONS-

Organizational Element	FY 1986 After Sequestering	FY 1987 Request	Assignment to Program Areas			
			Vehicle Safety and Consumer Standards Programs		Automotive Consumer Programs	
			FY 1986	FY 1987	FY 1986	FY 1987
Associate Administrator	5	5	3	3	2	2
Office of Vehicle Safety Standards	41	41	41	41	...	...
Office of Market Incentives	17	17	2	2	15	15
Mission Support Functions	25	25	17	17	8	8
Total Allocation	88	88	63	63	25	25
Salaries and Expenses	$4,601	$4,696	$3,290	$3,362	$1,311	$1,334

Justification for Permanent Positions

Provision is made in each sub-activity for a distributive share of the Associate Administrator's staff and for Mission Support Function positions justified under the General Administration budget activity but shown here because of their key role in achieving various major program objectives. These allocations are shown in the breakdown of positions for each sub-activity.

VEHICLE SAFETY STANDARDS

The Office of Vehicle Safety Standards is dedicated to the reduction of both the frequency and severity of motor vehicle crashes through development and promulgation of Federal Motor Vehicle Safety Standards, and review and amendment of existing standards in response to petitions for rulemaking. A significant portion of these offices' activities include keeping abreast of the rapidly changing state-of-the-art in motor vehicle safety technology nd increasing the agency's detailed knowledge of motor vehicle safety problems. Also included are activities to harmonize the Federal Motor Vehicle Safety Standards, without compromising current safety levels, with those of other countries as a means of reducing non-tarriff barrier to trade.

National leadership is provided in the development of test devices, test procedures and criteria for the evaluation of motor vehicle safety problems dealing with crash protection, crash survivability, and crash avoidance of motor vehicles and appurtenant equipment. Consideration is given to human factors, biodynamics, engineering factors, cost, weight, and leadtime effects to assure a systems approach in the development of solutions to motor vehicle safety problems. The office enhances its technical capability through sharing of information with industry and liaison with voluntary standard organizations. The results of these efforts lead to the formulation of recommended practices and the issuance of Federal Motor Vehicle Safety Standards as appropriate.

Analytical studies of the costs, leadtime requirements and benefits of these activities are provided by the Engineering System Staff, an element of the office of Vehicle Safety Standards.

	FY 1986	FY 1987	Increase(+) or Decrease(-)
POSITIONS:			
Associate Administrator	3	3	...
Office of Vehicle Safety Standards	41	41	...
Office of Market Incentives	2	2	...
Mission Support Functions	17	17	...
Total	63	63	...

AUTOMOTIVE CONSUMER PROGRAMS

The purpose of the Office of Market Incentives is to develop all regulations and consumer information under Title II of the Motor Vehicle Information and Cost Savings Act and consumer regulations, including the Uniform Tire Quality Grading System, issued under the National Traffic and Motor Vehicle Safety Act; develop methods for making determinations and provide information for issuance to motor vehicle consumers on the relative differences among passenger vehicles as they relate to crash survivability characteristics, damageability, and ease of diagnosis and repair of motor vehicles; and coordinate and maintain related consumer information regulations. The office is also responsible for the Bumper Standard issued under Title I of the Motor Vehicle Information and Cost Savings Act and the Vehicle Theft Prevention Program issued under Title VI of this act. The Title VI requirements include identifying "high theft" carlines, critical vehicle components, and parts marking requirements; reviewing petitions for exemption from the parts marking requirements for vehicles with approved antitheft devices; and obtaining and publishing insurance information to assess the effectiveness of the theft prevention standard.

Additionally, the office provides national leadership in the planning, development, and issuance of Federal automotive fuel economy standards that are established by statute and rule for cars and light trucks ranging in gross vehicle weight (GVW) to 10,000 lbs. Also included in its function is the monitoring of the effects of the market and the efforts of the manufacturers to improve automotive fuel efficiency; the assessment of fuel economy standards and adjustments requested by manufacturers; the recommendation of procedural regulations for research and development and the development of appropriate relationships with the automotive industry and cooperative relationships with other Federal agencies.

	FY 1986	FY 1986	Increase(+) or Decrease(-)
POSITIONS:			
Associate Administrator	2	2	...
Office of Market Incentives	15	15	...
Mission Support Functions	8	8	...
Total	25	25	...

RULEMAKING PROGRAMS
RESOURCE SUMMARY

Contract Program
(Dollars in Thousands)

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
Vehicle Safety and Consumer Standards				
Standards Development	$641	$715	$715	$605
ADP Services	134	190	115	100
Subtotal	$775	$905	$830	$905
Automotive Consumer Programs				
New Car Assessment Program	$750	$750	$750	$750
Fuel Economy Program	100	100	100	100
Subtotal	$850	$850	850	$850
Total	$1,625	$1,755	$1,680	$1,755

These line items are financed entirely from Federal Funds

PROGRAM: RULEMAKING

FISCAL
YEAR
1987

TITLE: VEHICLE SAFETY AND CONSUMER STANDARDS

MAJOR PROGRAM OBJECTIVE

To provide the critical independent test information, related analysis, and management information to support the development of and amendments to Federal Motor Vehicle Safety Standards.

PROBLEMS AND GOALS

Independent quantitative and qualitative data not furnished by previous research or by manufacturers are needed to administer rulemaking programs effectively and implement regulatory reform on a timely basis by: establishing cost and leadtime data bases; analyzing both regulatory and non-regulatory alternatives; assuring that compliance test procedures of final rules are valid; assuring that petitioned changes to existing regulations are evaluated; analyzing changing conditions in automotive design and manufacturing that reveal new dimensions to the safety and fuel economy problems; and maintaining a management information system on the status of rulemaking. Without these tests, analysis, verification of performance test requirements, accurate estimates of benefits, costs and leadtime, the timeliness of program goals would be severely hindered.

OBJECTIVES AND GENERAL APPROACH

To resolve questions related to regulatory reform and rulemaking development, promulgation and implementation, the following actions will be taken:

o Short term duration test programs and engineering analysis to validate the engineering basis of standards and proposed changes to existing standards;

o Test programs and analysis to validate test procedures for verifying compliance to proposed standards;

o Cost, benefit, and leadtime analysis of both regulatory and non-regulatory alternatives in the development of standards and amendments to existing standards;

o Analysis of changing automotive designs to assess the changing accident environment resulting from such changes and to assess the changing fuel economy performance of future fleets;

o Test programs and analysis of certain proposed and current international motor vehicles regulations in support of a harmonization program aimed at improving or preserving current safety performance requirements while eliminating duplicative and unnecessary testing and administrative burdens and possible non-tariff barriers to trade.

BENEFITS

Assurance that final rulemaking actions are practicable credible and defensible; that significant alternatives have been examined and considered; that safety performance levels can be verified and that cost, benefit, and leadtime analyses provide accurate assessments to compare with industry estimates. Prompt investigation of issues will enable timely development and issuance of appropriate safety standards, amendments to existing standards, and timely preparation of pertinent information to respond to inquiries and comments from both internal and external organizations. The results of these programs will strengthen the basis for rulemaking and thus enable NHTSA to provide practicable and reasonable safety standards.

ACCOMPLISHMENTS

- Approximately 50 petitions for rulemaking, exemption to standards etc., were evaluated and appropriate action taken.

- Testing and analysis was completed which led to the amendment of the standard on child restraints to permit their certification of use in both aircraft and motor vehicles.

- Tests were completed on a number of glass-plastic windshields in support of test procedures specified in amendments to the safety standard on glazing (FMVSS No. 205).

- Extensive testing and analysis was continued and is close to completion in support of a proposal for a harmonized test procedure for passenger car braking system. An initial proposal was issued during 1985 and a further proposal is expected in 1986. The achievement of a harmonized test procedure for U.S. and European standards is expected to reduce the administrative and testing burden associated with certifying passenger cars to both standards and thus reduce the potential for non-tarriff barriers to trade.

- Extensive analytical work was completed in support of amendments to the lighting standard (FMVSS No. 108) including the harmonization of certain requirements and associated test procedures between U.S. and European standards.

- Significant progress was achieved in furthering the consideration of amendments to the standard on side-impact protection of occupants of passenger cars (FMVSS No. 214), through the analyses of costs and benefits associated with various proposed vehicle improvements.

RESEARCH REQUIREMENTS ($000's)

FY 1985 (Appropriation) $ [illegible]
FY 1986 Enacted [illegible]
FY 1986 After Sequestering [illegible]
FY 1987 Request [illegible]

PLANNED WORK FY 1986 AND FY 1987

	FY 1985 Appropriation	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
Vehicle Safety Standards				
1. Standards Development	[illegible]	[illegible]	[illegible]	[illegible]

To provide the capability to react within a relatively short time, through testing, examination, analysis and studies, (engineering, scientific and laboratory) of specific issues that are raised in regards to petitions or proposed new standards. This level of funding represents a basic resource level for dealing with approximately [illegible] petitions and [illegible] final rules or amendments per year.

Within this activity of Standards Development, cost and lead time analysis activities support the work on petitions and rulemaking to ensure that proposed changes or new requirements are reasonable and practicable. The international harmonization activities implement a long standing U.S. government policy that, where feasible, non-tariff barriers to trade be avoided or eliminated while preserving the present level of motor vehicle safety. Funds will provide for substantive participation in the activity of harmonizing motor vehicle safety standards by the United States (U.S.) in the Economic Commission for Europe of the U.N. (E.C.E.) through specific work on light and heavy duty truck brake test procedures, vehicle lighting, [illegible] and spray test procedures, side impact protection and safety glazing.

The requested increase in FY 1987 funding resulting from [illegible] savings will be used for increased testing and analysis primarily in the areas of side impact protection and pedestrian protection.

The following work will be accomplished at the FY 1987 request level:

In the area of Crash Avoidance:

- Lighting and Signaling - Testing to establish and validate the [illegible] [illegible] of planned amendments to existing lighting standards. Testing will be performed to evaluate possible changes in the headlighting areas, in furtherance of a simplified standard for forward lighting.

- [illegible]

- [illegible]

[illegible]

- [illegible]

- [illegible]

- [illegible]

- [illegible]

	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]				

[illegible]

[illegible]

Fiscal
Year
1987

AUTOMOTIVE CONSUMER PROGRAMS

MAJOR PROGRAM OBJECTIVES

Plan, design, and implement new and innovative programs which primarily use market forces to encourage the production of motor vehicles which are safer and less costly to own and operate. This is accomplished through consumer information and related programs designed to stimulate voluntary efforts in the areas of motor vehicle safety, fuel economy, damageability, and tire quality.

A second objective is to develop the regulations and consumer information materials required under Titles I, II, V, and VI of the Motor Vehicle Information and Cost Savings Act as amended, and the consumer regulations required by the National Traffic and Motor Vehicle Safety Act.

PROBLEM AND GOALS:

The number of deaths and serious injuries on the nation's highways continues to be a major problem. Additionally, the cost of owning and operating a vehicle, including fuel usage, damage repair and automobile theft, continues to be a major economic burden.

OBJECTIVES AND GENERAL APPROACH:

The proposed Automotive Consumer Program consists of:

- a New Car Assessment Program to develop relative crashworthiness information for consumers to assist them in selecting and purchasing safer motor vehicles;
- a Consumer Information Program on Bumpers to develop a methodology which will identify levels of low speed damage protection;
- a Fuel Economy Program to monitor the progress in achieving established passenger automobile and light truck fuel economy standards and to issue and amend standards, as appropriate;
- a Tire Program to determine tire performance characteristics and develop information for distribution to consumers;
- a Theft Program to establish standards for the reduction of passenger automobile theft by professional thieves.

BENEFITS:

Through implementation of these programs, consumers will have more and better comparative information on the safety, damageability performance, and operating costs of motor vehicles. The resulting market forces will encourage manufacturers to produce safer and more cost efficient vehicles. Additionally, consumers will benefit in economic and actual terms, from a reduction in the number of passenger automobile thefts.

ACCOMPLISHMENTS

The New Car Assessment Program, which evaluates the comparative safety performance of new motor vehicles under controlled crash conditions, has conducted frontal impact tests on 171 makes and models since 1979. Thirty vehicles were tested in FY 1985.

The agency continues to monitor the ability of the automotive manufacturers to meet the existing fuel economy standards, and has issued and amended fuel economy standards as required by the Motor Vehicle Information and Cost Saving Act. During FY 1985, new light truck standards were issued for model year (MY) 1985-87 and work was initiated to propose standards for MYs 1988-89. The agency also responded to petitions from manufacturers and public interest groups to amend the 1986-1990 passenger car standards, and issued an amended passenger car standard for MY 1986. During FY 1986, the agency has thus far issued proposed fuel economy standards for MY's 1987-88 passenger cars and MY's 1988-89 light trucks.

A maintainability contract was awarded to develop comparative information on the "ease of" diagnosis and the "ease of" repair of major mechanical and electrical systems on a sample number of motor vehicles. This effort determined that it was not feasible to develop maintainability ratings for motor vehicles based on an "ease of" approach.

An extensive test program to assess the ability to reduce or to eliminate tire treadwear variability has been initiated, and will provide the basis for proposing improvement to the treadwear component of the Uniform Tire Quality Grading Standard.

In the Consumer Information Program on Bumpers, a laboratory test procedure has been developed to assess the damageability performance of passenger automobile bumper systems. Analyses are underway to correlate the laboratory test results with real-world, low speed accident repair data.

RESOURCE REQUIREMENTS ($000's)

FY 1985 (Appropriated)	$ 850
FY 1986 (Enacted)	850
FY 1986 After Sequestering	850
FY 1987 (Request)	850

PLANNED UNDER FY 1986 AND FY 1987

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
1. New Car Assessment Program	$750	$750	$750	$750

Work will continue in the New Car Assessment Program to assess the crashworthiness and safety performance of motor vehicles. Emphasis will also be placed on developing crashworthiness and safety performance information on vehicles in the latest popular market segments, such as light trucks and sporty-type vehicles (including convertibles). Crashworthiness and safety performance information will be developed and publicized on up to 30 motor vehicles in the 1987 NCAP. Work will also be undertaken to assess alternative/additional NCAP test configurations, such as whether two door vehicles perform the same as do four door vehicles, and to assess the relationship between NCAP test results and real-world accidents.

Work will continue in the Consumer Information Program on Bumpers to assess approaches for developing comparative information on the damageability characteristics of bumper systems on passenger automobiles

Work will continue in the Uniform Tire Quality Grading Standard program, to assess approaches for developing comparitive information improvements in test procedures, as well as the development of methods to reduce the variability in treadwear testing, and to improve the techniques of disseminating the information to consumers.

In the area of theft prevention, work will be undertaken to monitor the effectiveness of vehicle parts marking as required by the Theft Prevention Standard, and to evaluate the effectiveness of anti-theft devices as alternatives to parts marking.

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
2. FUEL ECONOMY	$100	$100	$100	$100

The FY 1987 request will support fuel economy rulemaking for light trucks and low volume passenger cars. Funds will be used to develop regression equations for vehicles based on weight, engine size, transmission and other vehicle characteristics using current (MY 1986) EPA test data for calculations. This effort is necessary to understand changes in passenger car and light truck fuel economy levels. These analyses must be repeated regularly as technology changes. In particular, new light truck engine technologies (fast-burn engines, reduced friction engines, and sophisticated electronic controls) are expected by MY 1986 and MY 1987. These new technologies will affect fuel economy relationships and projections.

Work will continue to better define and cost out potential fuel economy improvement technologies and improve our capability for independent assessment of motor vehicle manufacturers' claims.

ENFORCEMENT PROGRAMS
(Dollars in Thousands)

	FY1986 Enacted	FY 1986 After Sequestering	FY 1987 Request	Increase (+) or Decrease (-)
Positions	101	101	101	...
Dollars:				
Salaries and Expenses	$4,528	$4,434	$4,540	+ $106
Operating Expenses	1,180	1,029	1,391	+ 362
Contract Program	5,692	5,447	5,692	+ 245
Total	$11,400	$10,910	$11,623	+ $713

Financing:

These line items are financed entirely from Federal Funds.

FUNCTION

Responsible for enforcement of programs conducted under the rulemaking activity and the conduct of safety defect investigations. For enforcement purposes, rulemaking activities include promulgation of Federal motor vehicle safety standards for all motor vehicles, items of motor vehicle equipment, automotive fuel economy standards required by the Energy Policy and Conservation Act; programs requiring economic bumpers withstanding low speed collisions; and the odometer regulation.

Breakdown of Staffing Resource Requirements
(Dollars in Thousands)

- POSITIONS -

Organizational Element	FY 1986 After Sequestering	FY 1987 Request	Assignment to Program Areas: Vehicle Safety Compliance FY1986	Vehicle Safety Compliance FY1987	Defects Investigation FY1986	Defects Investigation FY1987	Odometer Fraud Staff FY1986	Odometer Fraud Staff FY 1987
Associate Administrator	4	4	2	2	2	2	-	-
Office of Defects Investigation	46	46	-	-	46	46	-	-
Odometer Fraud Staff	5	5	-	-	-	-	5	5
Office of Vehicle Safety Compliance	35	35	35	35	-	-	-	-
San Angelo Tire Test	2	2	2	2	-	-	-	-
Mission Support Functions	9	9	4	4	4	4	1	1
Total Allocation	101	101	43	43	52	52	6	6
Salaries and Expenses	$4,434	$4,540	$1,884	$1,933	$2,283	$2,337	$267	$270

- Justification for Permanent Positions -

Provision is made in each sub activity for a distributive share of the Associate Administrator's staff and for Mission Support Function positions justified under the General Administration budget activity but shown here because of their key role in achieving various major program objectives. These allocations are shown in the breakdown of positions for each sub-activity.

VEHICLE SAFETY COMPLIANCE

The office of Vehicle Safety Compliance provides the testing, inspection and investigation necessary to assure compliance by foreign and domestic motor vehicle and equipment manufacturers with the Federal Motor Vehicle Safety Standards and the notification requirements of the National Traffic and Motor Vehicle Safety Act of 1966, as amended, and conducts the necessary investigations under Title I and V of the Motor Vehicle Information and Cost Savings Act of 1972, as amended, regarding the bumper damageability regulation, and compliance with manufacturer fuel economy standards and the Gas Mileage Guide Regulation.

	FY 1986	FY 1987	Increase (+) or Decrease (-)
POSITIONS:			
Associate Administrator.......	2	2	...
Office of Vehicle Safety Compliance....................	37	37	...
Mission Support Functions.....	4	4	...
TOTAL....................	43	43	...

DEFECTS INVESTIGATION

The Office of Defects Investigation provides testing, inspection, and investigation necessary for the identification and correction of safety-related defects (other than non-compliances with promulgated Federal Motor Vehicle Safety Standards) disclosed in foreign and domestic motor vehicles and appurtenant equipment, and the safety-related defect notification requirements of the National Traffic and Motor Vehicle Safety Act of 1966, as amended. Provision is also made for the operation of the NHTSA ODI Toll-free Hotline which provides a means for the public to report vehicle defects for possible investigative action and to receive information on safety defect recall campaigns. Conducts investigations to determine violations of odometer fraud under Title IV of the Motor Vehicle Information and Cost Savings Act, as amended.

	FY 1986	FY 1987	Increase (+) or Decrease (-)
POSITIONS:			
Associate Administrator..........	2	2	...
Office of Defects Investigation...	46	46	...
Mission Support Functions.........	4	4	...
TOTAL	52	52	...

ODOMETER FRAUD STAFF

The Odometer Fraud Staff Consists of a Chief, Secretary, and four Automotive Enforcement Investigators located at Regional Offices in Boston, Atlanta, Kansas City, and San Franciso. The country has been divided into four Enforcement Regions and each Investigator conducts investigations of odometer fraud in his Region for referral to the Department of Justice for criminal prosecution. In addition, each Investigator works closely with State enforcement agencies located in his Enforcement Region assisting them in their odometer fraud investigations and encouraging aggressive enforcement of their odometer laws and regulations.

	FY 1986	FY 1987	Increase (+) or Decrease (-)
POSITIONS:			
Odometer Fraud Staff...............	5	5	...
Mission Support Functions..........	1	1	...
TOTAL..........................	6	6	...

ENFORCEMENT PROGRAMS

RESOURCE SUMMARY
Contract Program

(Dollars in Thousands)

	FY 1985	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
Vehicle Safety Compliance	$3,825	$3,675	$3,480	$3,675
Defects Investigation	2,067	2,017	1,967	2,017
Total	$5,892	$5,692	$5,447	$5,692

These line items are financed entirely from Federal funds.

Fiscal
Year
1987

Program: Enforcement

Title: VEHICLE SAFETY COMPLIANCE AND FUEL ECONOMY

Major Program Objectives:

To continue a vehicle and equipment compliance testing program covering a representative sample of the 500 make/model combinations of passenger cars, other vehicle types, and the 1330 tire lines plus other equipment items (safety belts, child seating systems, brake fluids, brake hoses, etc.). Enforce the average fuel economy standards.

Problem and Goals:

Approximately 10 million passenger cars are estimated to be produced annually for sale in the United States in an array of approximately 500 make/model combinations and 200 million tires representing 1330 tire lines available to the consumer. The failures experienced in our compliance testing program continue to indicate the need for the surveillance afforded by our continuing monitoring of manufacturer performance. Also, passenger vehicles and light trucks burn nearly one half of the total petroleum consumed for the transportation of people and goods in the United States.

The continuing program to ensure compliance includes the following:

- Conduct a vehicle and equipment compliance test program;
- Process and report compliance test data;
- Determine noncompliance to a given standard;
- Supply supporting data to the Attorney General involving recall and assessment of civil penalties.
- In cooperation with the U.S. Customs Service, enforce the regulations governing the importation of motor vehicles and items of motor vehicle equipment.
- Evaluate each manufacturer's compliance with the average fuel economy standards.

Benefits:

An increased awareness by the manufacturers and importers of their responsibility to comply with FMVSS, associated regulations, and the average Fuel Economy Standards. Recall and corrective action by manufacturers whose products are found to be in noncompliance with the safety standards, and thus lead to the utilization of safer vehicles on the Nation's highways.

Accomplishments:

Since the inception of the program in FY 1968, 3,860 investigations have been initiated based upon safety standards activities, of which 3,479 have been completed and are now closed, and $2,575,300 collected from 393 civil penalties imposed as of December 31, 1985. In addition a civil penalty of $6,015,990 was collected from Jaguar Cars, Inc., for its failure to comply with the fleet average fuel economy standards for 1983 and 1984 model years.

Passenger automobile total fleet fuel economy for 1985 is projected to be 27.2 mpg, an increase from 26.9 mpg in 1984. Final figures for MY 1985 are not yet available from the EPA.

Work to be accomplished in FY 1986 indicates 193 compliance tests for a representative sample of the vehicle market (approximately 78 vehicles) including passenger cars, multipurpose passenger vehicles, trucks, and school buses. The vehicles will be selectively tested to the requirements of 15 FMVSS. In addition, 1,492 compliance tests of motor vehicle equipment (approximately 3,200 items) to the requirements of 9 FMVSS will be conducted. Other expenditures will include: Freight and Storage (vehicles and equipment), Computer Support Services, Responsive Testing (consumer complaints, etc.).

Resource Requirements ($000):

FY 1985 Appropriated	$3,825
FY 1986 Enacted	$3,675
FY 1986 After Sequestering	$3,480
FY 1987 Request	$3,675

Planned Under FY 1986 After Sequestering and FY 1987 Request:

Compliance Testing	FY 1986 After Sequestering	FY 1987 Request
Number of Standards in Effect	49	49
Number of Standards Scheduled for Testing	24	20
Number of Compliance Tests Scheduled	1,685	1,340
Approximate Number of Equipment Items Scheduled	3,200	2,670
Number of Vehicles Scheduled for Testing	78	70

Final details of the FY 1987 testing program and the detailed funding breakdown are contingent on the results of the FY 1986 test program.

Fiscal Year
1987

DEFECTS INVESTIGATIONS AND ODOMETER ENFORCEMENT

MAJOR PROGRAM OBJECTIVES:

The principal objective is to reduce the number of safety-related defects in motor vehicles used on the nation's highways by ensuring that manufacturer defect notifications are made as required by law and to assure that required corrective action is accomplished before accidents, injuries or deaths occur. This element also includes the NHTSA Hotline and provides the necessary enforcement of odometer fraud laws and regulations.

PROBLEM AND GOALS:

Motor vehicles and motor vehicle equipment may be produced with safety-related defects. In those cases where the manufacturer reports these defects voluntarily, its procedures and corrective actions must be monitored. In other cases where alleged safety-related defects are reported by the public, investigative actions are required to determine whether a safety-related defect exists in order to convince manufacturers to voluntarily conduct recalls or to order recalls. About 70 percent of the approximately 4 million new cars that are sold to leasing companies and subsequently end up in the used car market have had their odometers turned back. This falsely increases the value of these cars and fraudulently costs consumers buying such cars more than $2 billion annually.

OBJECTIVES AND GENERAL APPROACH:

To identify vehicle and vehicle equipment safety-related defects (whether or not they are the subject of a safety standard) and to ensure proper notification to the Administration and owners by the manufacturer. To investigative odometer fraud for civil or criminal prosecution and provide assistance and guidance to State enforcement agencies for their odometer enforcement programs.

APPROACH:

To implement a program which consists of: (1) analysis of available information to detect possible defects; (2) providing the investigative and technical expertise to determine the facts surrounding suspected defects through testing, field investigations and surveys; and (3) surveillance of the manufacturers' defect notification (recall campaign) systems and procedures. To deter odometer fraud by obtaining convictions of offenders, by increasing public awareness of odometer fraud and protection rights, and by providing funds to State enforcement agencies to assist in their odometer enforcement efforts.

BENEFITS:

A reduction in the frequency of defective vehicles reaching and/or existing on the highways. Increased awareness by the manufacturers of their responsibilities and increased public awareness of the existence of safety-related defects in their vehicles. An effective odometer enforcement program will result in a reduction of millions of dollars in consumer fraud.

ACCOMPLISHMENTS:

Since inception of the Act (September 1966 - December 1985)

- 118.4 million vehicles have been recalled in 3,879 campaigns. 21.5 million vehicles and 780 campaigns involved foreign vehicles.
- 660 campaigns were directly influenced by NHTSA involving 62.5 million vehicles.

Since inception of the odometer enforcement program (July 1978 - Dec. 1985)

- 702 investigations involving 3,056 vehicles completed which substantiated odometer fraud. Ninety-three cases were referred to the Department of Justice for criminal prosecution; 130 cases referred to State enforcement agencies for legal action at that level; results of the remainder of investigations provided to consumers for private civil actions.

ACCOMPLISHMENTS FROM OCT 1, 1984 THROUGH DEC 1985:

- There were 141 investigative actions opened and 156 closed, 7 recall audits initiated and 23 closed, and 33 petition evaluations opened and 33 closed.
- There were 220 safety recall campaigns involving 9.6 million vehicles. NHTSA investigative efforts influenced 38 recall campaigns involving 7.30 million of these vehicles.
- There were also 65 campaigns by equipment and tire manufacturers involving 5.088 million units, of which 44,500 were tires.
- The Auto Safety Hotline received over 314,700 calls which requested recall and consumer information (some of which were referred to other Federal and State agencies), as well as to report defective vehicle problems.
- There were 270 Freedom of Information Act (FOIA) requests processed.
- Forty-four investigations involving 147 vehicles completed which substantiated odometer fraud. Five cases referred to the Department of Justice for criminal prosecution and 12 cases referred to State enforcement agencies for legal action at that level.
- The Odometer Fraud Staff supported 6 Federal grand juries investigation odometer fraud which resulted in 16 criminal convictions.

Resource Requirements ($000):

FY 1985 Appropriated	$2,067
FY 1986 Enacted	$2,017
FY 1986 After Sequestering	$1,967
FY 1987 Request	$2,017

Planned Under FY 1986 After Sequestering and FY 1987 Request:

In response to this program's reactive nature, the Office of Defects Investigation (ODI) and the Odometer Fraud Staff will continue to:

- Conduct Preliminary Evaluations and Engineering Analyses by reviewing consumer complaints, conducting tests, querying manufacturers, examining failure trends, checking service bulletins, inspecting vehicles and parts to define alleged defects. When an Engineering Analysis does not result in a voluntary recall, it may be a candidate for formal investigation.

- Initiate Formal Investigation of potential safety-related defects when necessary. Investigative support is supplied by outside contractors to expand the capabilities of the staff of professional investigators. These contractors include automobile clubs, diagnostic centers, investigatory interviewers, statistical surveyors, testing laboratories, and computer analysis specialists.

- Process, through the Hotline, 250,000 or more expected requests from the public for recall information, defect report forms, vehicle safety information and intra and interagency referral information. The operators, through an automated processing system will mail a printed copy of the requested recall information or vehicle owner's defect report within 24 hours. Copies of defect reports are promptly mailed to the appropriate manufacturer with a request for assistance in resolving the problem. The defect reports are processed for entry into the defects information computer data base system.

- Assist owners who are having difficulty with recall service to obtain the required corrective action.

- Conduct audits of recalls to assure the dealers accomplish the correct actions which the recall campaign requires.

- Work with manufacturers to improve recall percentages.

- Continue to conduct investigation of odometer fraud for criminal and civil prosecutions.

- Provide consumers with information concerning odometer fraud and their rights to recover damages under the Federal statutes and continue to work with States to enhance their odometer enforcement programs.

During FY 1987, the Office of Defects Investigation will continue to gather vehicle complaint data, pursue approximately 100+ ongoing investigative actions consisting of Preliminary Evaluations, Engineering Analyses, and formal Defect Investigations to determine the existence or non-existence of alleged or potential safety related defects in motor vehicles and/or related equipment, and oversee and audit manufacturers' recall campaigns. This program continues to be reactive in nature, but it is not anticipated that significant increases in case load will occur over anticipated FY 1986 levels. As a result, the Office of Defects Investigation will initiate investigative actions of potential safety-related defects as necessary in response to the uncontrollable factors inherent in this major program element. The Office of Defects Investigation will also operate the Auto Safety Hotline which is expected to process approximately 250,000 calls during the fiscal year.

The Odometer Fraud Program will continue to conduct investigations of odometer fraud for civil and criminal prosecutions at the Federal level. In addition, liaison with States will be continued to encourage them to:

- Conduct investigations and prosecutions under existing State laws.
- File injunctions against violators and recover damages for defrauded consumers as provided for in Section 411 of the Motor Vehicle Information and Cost Savings Act.
- Attend interstate conferences which will allow State enforcement agencies to exchange intelligence information and techniques for investigations and prosecutions.

HIGHWAY SAFETY PROGRAMS
(Dollars in thousands)

	FY 1985	FY 1986 Program Enacted	FY 1986 After Sequestering	FY 1987 Program Request	Increase(+ or Decrease(-
Positions:					
Operations and Research (GF)	23	23	23	23	...
Trust Fund Share (HTF)	71	71	71	71	
Highway Traffic Safety Grants (HTF)	80	80	80	80	...
TOTAL	174	174	174	174	...
Dollars:					
Salaries and expenses					
Operations and Research (GF)	$1,235	$1,247	$1,222	$1,252	+$30
Trust Fund Share (HTF)	4,221	4,502	4,419	4,518	+99
Highway Traffic Safety Grants (HTF)	3,651	3,751	3,751	3,651	-100
TOTAL	9,107	9,500	9,392	9,421	-29
Operating expenses					
Operations and Research (GF)	147	159	123	219	+96
Trust Fund Share (HTF)	549	596	460	798	+338
TOTAL	696	755	583	1,017	+434
Contract program					
Operations annd Research (GF)	2,058	1,796	1,719	1,685	-34
Trust Fund Share (HTF)	6,684	5,400	5,189	8,477	+3,288
TOTAL	8,742	7,196	6,908	10,162	+3,254
Summary					
Operations and Research (GF)	3,440	3,202	3,064	3,156	+92
Trust Fund Share (HTF)	11,454	10,498	10,068	13,793	+3,725
Highway Traffic Safety Grants (HTF)	3,651	3,751	3,751	3,651	-100
TOTAL	18,545	17,451	16,883	20,600	+3,717
Additional Funding for the National Occupant Protection Program					
Other NHTSA O&R Funds	(2,181)	(1,077)	(1,077)	(1,250)	(+173)
Total funding level	(20,726)	(18,528)	(17,960)	(21,850)	(+3,890)

FUNCTION:

Funding is provided in this activity for headquarters and regional office staff with assigned responsibility to propose policy, develop programs, provide development of technical guidance and conduct evaluation for States in the execution of their own State highway programs and highway safety matching grant programs for which justifications appear under the Highway Traffic Safety Grants Program. Staff responsibilities include: the development of model traffic safety programs aimed at the reduction of traffic crashes and resultant deaths, injuries, and property damage. Principal emphasis is being placed on programs designed to reduce the incidence of drunk and drugged driving and to increase the usage of safety belts and child safety restraints. Technical guidance assistance is also provided to the States in the development, implementation, and evaluation of their highway safety programs, and program reviews are performed which focus on the direction of financial resources and achievement of highway safety program objectives.

Funding is also provided for contractual and supporting staff requirements for the development, demonstration, evaluation, documentation and dissemination of the best available knowledge and techniques regarding ways and means of dealing with the human factors that impact the highway safety system. The principal thrust of the HSP contract program is the implementation of new and improved systems, procedures, and techniques in a controlled environment, wherein the impact of the countermeasure can be documented and disseminated to all States and communities. The heavy involvement of youth in crashes is also addressed. The countermeasures being implemented and planned for implementation result from research, both in-house and contractual, and from operational successes at State and community levels. The countermeasures are designed to identify and improve the behavior of vehicle drivers and pedestrians which has proven to contribute to crashes.

Additional funds requested for the contract program in 1987 will provide for increased efforts to improve State emergency medical services programs. The justifications also increase efforts to implement the National Occupant Protection Program designed to implement the Secretary of Transportation's decision on Federal Motor Vehicle Safety Standard 208, occupant protection. A total contract program of $10.2 million is planned in FY 1987.

BREAKDOWN OF STAFFING RESOURCE REQUIREMENTS BY FUNDING SOURCE
OPERATIONS AND RESEARCH

HEADQUARTERS

	Alcohol Countermeasures Program		National Occupant Protection Program		Countermeasures Improvement & Support		Improvement of State Prog. Mgmt. Capability		Highway Traffic Safety Grants		Total	
	1986	1987	1986	1987	1986	1987	1986	1987	1986	1987	1986	1987
Permanent Positions												
Associate Administrator	3	3	3	3	2	2	2	2	2	2	12	12
Program Operations Staff	...	...	...	...	...	...	1	1	1	1	2	2
Office of Alcohol and State Programs	12	12	...	...	4	4	15	15	11	11	42	42
Office of Occupant Protection	...	...	13	13	...	...	...	...	7	7	20	20
Office of Enforcement and Emergency Services	1	1	1	1	4	4	...	...	4	4	10	10
Mission Support Functions	4	4	4	4	...	...	...	...	...	...	8	8
TOTAL ALLOCATION	20	20	21	21	10	10	18	18	25	25	94	94
Salaries and expenses	$1,443	$1,581	$1,516	$1,659	$722	$790	$1,299	$1,423	$1,090	$1,061	$6,070	$6,514

REGIONAL OFFICES

	Demonstration Countermeasures Program		Motor Vehicle and Consumer Information		Enforcement Programs		Highway Traffic Safety Grants		Total	
	1986	1987	1986	1987	1986	1987	1986	1987	1986	1987
Position Allocation	8	8	6	6	5	5	61	61	80	80
Salaries and expenses	$524	$562	$393	$421	$327	$351	$2,661	$2,590	$3,905	$3,924

Note: All 1986 entries are after sequestering.

Breakdown of Resource Requirements By Funding Source

	FY 1986 After Sequestering				FY 1987 Request			
		Highway Trust Fund				Highway Trust Fund		
	Federal Funds	403	402	Total	Federal Funds	403	402	Total
Position Allocation								
Headquarters	12	57	25	94	12	57	25	94
Regional Office	11	8	61	80	11	8	61	80
Total	23	65	86	174	23	65	86	174
Salaries and Expenses								
Headquarters	$ 701	$4,279	$1,090	$6,070	$ 733	$4,720	$1,061	$6,514
Regional Offices	644	600	2,661	3,905	672	662	2,590	3,924
Total	$1,345	$4,879	$3,751	$9,975	$1,405	$5,382	$3,651	$10,438

JUSTIFICATION FOR PERMANENT POSITIONS

As shown in the preceding table, personnel in this activity work interchangeably on programs which derive funding from the Operations and Highway Traffic Safety Grants Appropriations.

The following justifications describe the efforts undertaken by each organization within the Highway Safety Programs activity.

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR TRAFFIC SAFETY PROGRAMS

The staff in this office administers the programs of the administration to provide national leadership and technical assistance to States and local communities in the achievement of highway safety programs designed to meet goals of reducing traffic accidents and fatalities, injuries, and resulting property damage.

	FY 1986 After Sequestering	FY 1987	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	12	12	...
Total	12	12	...

PROGRAM OPERATIONS STAFF

This staff is responsible for planning, development, and implementation of comprehensive and solution-oriented State and community comprehensive highway safety programs. Provides program management assistance and technical advice to the States, through the Regional Offices, in the development and management of their Highway Safety Plans. Responsible for the development and oversight of effective management procedures for the Section 402 grant program.

	FY 1986 After Sequestering	FY 1987	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	2	2	...
Total	2	2	...

OFFICE OF OCCUPANT PROTECTION

This office is responsible for planning, development, publicizing, implementing, and evaluating traffic safety programs directed toward reducing traffic accidents and related injuries and fatalities, through efforts designed to increase safety belt and child safety seat usage for all motor vehicle operators and passengers, and the implementation of the FMVSS 208 program.

	FY 1986 After Sequestering	FY 1987	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	20	20	...
Total	20	20	...

OFFICE OF ALCOHOL AND STATE PROGRAMS

Under a reorganization effective October 1985, the Office of State Program Assistance was consolidated and merged with the Office of Alcohol Countermeasures to form this new office. This office is responsible for planning, developing, publicizing, implementing, and evaluating traffic safety programs (1) directed toward reducing traffic crashes and fatalities, injuries, and property damage resulting from the improper use of alcohol and drugs and (2) designed to improve driver licensing, administrative adjudication, traffic codes and laws, pupil transportation, motorcycle, and pedestrian safety. Provides technical advice and assistance in connection with the development, analysis, implementation, and monitoring of adjudication and court services, State traffic record programs and evaluation activities. Maintains and operates the National Driver Register of motor vehicle operators whose licenses have been suspended, revoked, or withdrawn by the States.

	FY 1986 After Sequestering	FY 1987	Increase(+) or Decrease(-)
Positions			
Federal Funds	12	12	...
Highway Trust Fund	30	30	...
Total	42	42	...

OFFICE OF ENFORCEMENT AND EMERGENCY SERVICES

This office is responsible for planning, developing, publicizing, implementing and evaluating traffic safety programs in the functional areas of police traffic services, selected traffic enforcement, emergency medical services and communications systems, accident investigation and debris hazard control.

	FY 1986 After Sequestering	FY 1987	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	10	10	...
Total	10	10	...

MISSION SUPPORT FUNCTIONS

Certain elements of the legal, planning and programming, and administrative staffs are deemed to play a key role in achieving various major program objectives. A distributive share of these selected positions has been reassigned from the General Administration activity. An accounting of positions included under the Office of the Administrator and Mission Support heading is provided under the General Administration budget activities.

	FY 1986 After Sequestering	FY 1987	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	8	8	...
Total	8	8	...

REGIONAL OFFICES

The National Highway Traffic Safety Administration has 10 regional offices which provide leadership, technical guidance and assistance to the States in the development and implementation of comprehensive highway safety programs geared to the reduction of accidents, deaths and injuries. While the major regional office involvement is in the area of the Highway Traffic Safety Grants Program, their responsibility for technical assistance also extends to demonstration and manpower programs. They also provide advice and assistance to the States and consumers relative to motor vehicle programs, enforcement, and consumer programs and assist headquarters in the interpretation of research program needs.

Individual regional office staff allocations vary from 6 to 10 personnel depending on geographic coverage and other factors. The Regional Offices, in addition to overseeing the administration of NHTSA's highway safety programs, are responsible for monitoring and evaluating State programs.

	FY 1986 After Sequestering	FY 1987	Increase(+) or Decrease(-)
Positions			
Federal Funds	11	11	...
Highway Trust Fund	69	69	...
Total	80	80	...

HIGHWAY SAFETY PROGRAMS
RESOURCE SUMMARY
CONTRACT PROGRAM
(Dollars in Thousands)

	FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
ALCOHOL PROGRAM	$1,632	$2,152	$ 2,147	$ 2,152
1. Alcohol Public Information/Education	439	860	855	820
2. Alcohol Program Management/Evaluation	466	582	582	577
3. Alcohol Technology Development & Transfer	727	710	710	755
NATIONAL OCCUPANT PROTECTION PROGRAM	4,104*	1,923	1,923	5,000
1. State and Local Program Assistance	1,605	565	565	1,450
2. National Organization Program	1,127	241	241	650
3. Corporate Employer Programs	264	181	181	820
4. Evaluation and Planning Support	588	280	280	1,080
5. Media Program	520	250	250	500
6. Passive Education Program	0	406	406	500
COUNTERMEASURE IMPROVEMENT & SUPPORT PROGRAMS	810	1,115	1,021	1,115
1. Motorcycle Safety and Driver Licensing	159	175	175	165
2. Police Traffic Services	382	375	338	375
3. Emergency Medical Services	269	565	508	575
IMPROVEMENT OF STATE PROGRAM MANAGEMENT CAPABILITY	2,196	2,006	1,817	1,895
1. National Driver Register	2,058	1,796	1,617	1,751
2. Management Information Systems	128	100	100	95
3. State Traffic Records	10	25	25	10
4. Project Management Training	0	10	10	10
5. Comprehensive Community Program	0	75	65	29
TOTAL REQUIREMENTS	$8,742	$7,196	$ 6,908	$10,162

*Includes $1.923 million provided by direct appropriation and $2.181 million derived from internal reprogramming and carryover funds.

FISCAL
YEAR
1987

PROGRAM: HIGHWAY SAFETY PROGRAM

TITLE: ALCOHOL PROGRAMS

MAJOR PROGRAM OBJECTIVE

To provide the States and their communities with the latest technology for solving the drinking driver problem; to catalyze the States and communities into action in an organized and systematic manner; and to educate society as to the magnitude of the problem and possible solutions.

To provide the States and communities with techniques and strategies to sustain and maintain a high level of deterrence so that drunk driving will no longer be tolerated.

To promote responsible individual and community behaviors ultimately leading to a positive societal change in attitudes and mores to reduce drunk driving. Additionally people need to believe it is appropriate to intervene to keep others from driving while drunk. Through these prevention/intervention actions, promote healthier, safer attitudes and practices regarding drunk/impaired driving. Prevention is an activity to educate and change societal attitiudes toward the incidence of drunk/impaired driving whereas intervention is an active act to stop an individual from driving while impaired.

It is through these actions that the States and communities should ultimately be able to significantly reduce the alcohol-related deaths, injuries, and property damage crashes in the United States.

When the FY 1987 budget becomes effective in the autumn of 1986, most of the Alcohol Program initiatives will be fully operative. Perhaps the most basic of the countermeasure concepts, general deterrence, will have emerged as the leading strategy for reducing the prevalence of drunk driving. In addition, many of the targets will begin implementing prevention/intervention strategies. The original ten Target of Opportunity sites, models for achieving general deterrence through local, self-financed, systematic and comprehensive programs, will have been in operation for almost three years. An expansion of the target program will have resulted in the establishment of six additional sites, thus increasing the selection of model strategies for application. In addition, the target communities will have initiated action to convert the drunk/impaired driving programs into a more comprehensive traffic safety approach encompassing prevention/intervention strategies, occupant protection, motorcycle safety, emergency medical services, etc.

In the area of training, courses teaching advanced techniques for detecting alcohol-influenced persons will have been provided for over a year. Horizontal gaze nystagmus instructor training will have been provided to every

State. The drug detection recognition training instructor course will have been offered to many selected State/local police officials. Training innovations to meet the special needs of judges and prosecutors, administrative hearing officers and others will have been administered for an equal length of time. Public information programs featuring State and local themes and strategies will have been maintained on a national basis.

Prevention/intervention training will have been developed and in place in most States. In essence, training programs and materials will have been developed and/or updated for all the alcohol countermeasure areas. The national effort at the midpoint of the 1980's will be a coordinated presentation of the most effective technology available to deter drunk driving in those jurisdictions where State and local leaders have made alcohol a priority issue. In addition, the private/business sector will have become more involved in public information, education, and training efforts in support of local comprehensive alcohol highway safety programs.

Three primary challenges will form the basis of the alcohol program thrust in the latter 1980's. One challenge will be to increase the number of communities with coordinated, self-financed, general deterrence programs, while the second will be to phase prevention/intervention technology into a position of equal program emphasis. The third challenge will be to expand the community based alcohol programs to include other traffic safety areas in order to make the program more comprehensive and effective.

For FY 1987 in particular, the major emphasis for the Office of Alcohol Countermeasures will be to expand the implementation of effective technology. We will conduct workshops and other training sessions to increase the number of persons qualified to teach modern countermeasure strategies, and provide technical assistance to State and local agencies through contracts with technical associations and cognizant specialists. In addition, we will report on carefully designed evaluations of the impact resulting from contemporary countermeasure techniques. Finally, we will take stronger steps toward the establishment of prevention as a viable traffic safety strategy, and intervention as a socially accepted technique to create a separation between driving and drinking.

PROBLEM AND GOALS

Drunk driving continues as the nation's most serious traffic safety problem; in the past decade about 250,000 fatalities have involved drunk driving.

The proposed alcohol program for traffic safety is composed of three major efforts; (1) Public Information/Education; (2) System Management/Evaluation; and (3) Countermeasure Technology Development and Transfer.

The objective of Public/Information Education is to develop and transmit materials for State use that will maintain the effect of general deterrence while fostering broad prevention/intervention approaches to reduce the societal notion of intoxicated driving as a socially acceptable behavior.

The objective of System Management/Evaluation continues to be; (1) to provide instruction to appointed and elected officials on developing and operating systematic, self-financed, effective programs to reduce drunk driving; (2) to provide support to States, communities, and the private sector toward developing or evaluating various programmatic components or subsystems; and (3) to evaluate innovative/creative programs and if successful, transfer the lessons learned to other highway safety communities.

The objective of Countermeasure Technology Development and Transfer is to develop and transfer state-of-the-art technology to the State and local community agencies responsible for the detection, apprehension, prosecution, adjudication, licensing, and treatment of drunk driving offenders.

BENEFITS

Alcohol and drug detection technology, arrest procedures, and case preparation and monitoring will be greatly improved. A significant improvement in the prosecution and conviction of DWI offenders will be accompanied by a significant increase in licensing sanctions through both administrative and judicial procedures. Public information support will be increased to obtain and maintain a high level of deterrence. This will be accompanied by an increase in prevention and intervention efforts to change societal attitudes and norms and make drunk driving unacceptable. Overall there will be an increased awareness and support for alcohol countermeasure programs.

ACCOMPLISHMENTS

NHTSA has encouraged the States and their communities to recognize drunk driving and the tragic losses it has generated as a priority community traffic safety problem.

The comprehensive community based strategy based on general deterrence, community focus, systems approach, financial self-sufficiency, citizen support and prevention/intervention efforts has begun to pay dividends. States and communities have upgraded their efforts to solve the drunk driving problem. Forty-two States and over 150 counties and cities have appointed task forces to assess their problems, recommend and implement local improvements, and increase program activities. These task forces and active citizen support groups resulted in 49 States improving their drunk driver statutes. Twenty-one States have enacted legislation to promptly suspend the licenses of drivers arrested with a 0.10 percent or higher blood alcohol level. Forty States now have illegal *per se* laws at 0.10 or lower and 37 States have age 21 drinking laws.

NHTSA developed and initiated the "Target of Opportunity" concept in 1983. The target concept is that of a comprehensive alcohol program at the local level, involving the total community. The program consists of seven major elements: general deterrence, community focus, systems approach, financial self-sufficiency, citizen support, long-term prevention and safety belt usage. Ten Targets were operational during 1983-85 and six new sites were selected during 1984. Some of the Targets already are transitioning into more comprehensive traffic safety programs.

An interim evaluation of the first ten Targets of Opportunity was completed in 1985. The 1983 Targets have started to realize the benefits of a comprehensive drunk driving program. For example, the State of Delaware, one of the first targets, became operational January 1983. Delaware adopted administrative license revocation for DWI offenders effective October 1982, and raised its legal drinking age to 21, effective July 1983. The State has significant support from the citizens, uses sobriety checkpoints to enhance DWI enforcement, and has a Governor-appointed task force, in addition to a strong public information/education effort. Accident data for January - October 1983 was analyzed and compared to the same period in 1982. The analysis revealed that significant reductions occurred in fatalities and injuries coincident with the described program changes; total fatalities were down 8 percent, total injuries down 8 percent, and alcohol-related injuries were down 26 percent. These reductions occurred despite an estimated 8 percent increase in fuel use.

In Nassau County, New York, nighttime fatal accidents decreased 7 percent in the first program year, 15 percent in the second program year. Nighttime personal injuries decreased 6 percent in the first program year, and 10 percent in the second year. Comparing 1984 to 1983, Nassau County experienced a 77 percent decrease in alcohol-related fatalities while DWI arrests increased 23 percent.

Springfield and Waukegan, Illinois had accident decreases of 23 percent and 20 percent, respectively. In addition, the initial Target sites were expanded into a new Comprehensive Alcohol Safety Program (CASP) in 17 cities identified with a greater than average problem of alcohol-involved accidents.

In Salt Lake County, Utah, nighttime alcohol-related fatalities for April 1983 - March 1984 decreased over 38 percent compared to pre-program levels. Total alcohol-related fatalities decreased approximately 36 percent.

With the increased and more accurate reporting of blood alcohol test results of drivers involved in fatal crashes, The Fatal Accident Reporting System (FARS) for 1980 thru 1984 indicates the following estimates in alcohol involvement of fatally injured drivers.

DRIVER FATALITIES BY ALCOHOL LEVEL
1980 - 1984

BAC	1980	1981	1982	1983	1984	1980-84 Percent Change
None (.00)	11,094	11,393	10,068	10,398	11,793	+ 6.3
Some (.01-.05)	1,700	1,551	1,403	1,279	1,330	-21.8
Impaired (.05-.09)	1,585	1,523	1,329	1,255	1,407	-11.2
Intoxicated (.10 or more)	14,437	13,733	11,817	11,194	11,052	-23.3
Total	28,816	28,200	24,617	24,126	25,582	

When related to 1980 as a base year, an average of 9.8% reduction per year was experienced in driver and passenger fatalities.

The NHTSA Public Information Education program accomplishments include; (1) the operation of a clearinghouse of materials and provision of technical assistance and support for State and community alcohol public information campaigns and programs; (2) a limited program of media materials development and reproduction; and (3) a program to identify specific public information strategies to support locally based program countermeasures. The agency encourages efforts to combat DWI through awareness, legislation, and by other means.

Accomplishments in the program management and evaluation area were extensive:

o During 1984 NHTSA provided training to over 5,000 State and local personnel, up 70% over FY 1983. Training was provided in the following countermeasures: program management; evaluation; enforcement; prosecution; judicial; public communications; prevention/intervention; and server education.

o An Interim Report on the target of opportunity was completed as well as studies of administrative per se, revised DWI legislation and legal drinking age analyses, and

o The Alcohol Awareness Information Retrieval System (AAIRS) was developed in house and became operational.

Accomplishments in the NHTSA technology development and transfer program include the development and marketing of:

o Drinking Age 21: Facts, Myths and Fictions,

o State Task Force Summary Report,

o IDEA Sampler, National Drunk and Drugged Driving Awareness Week

o Driver License Compact Operations Manual

- 3rd Ed. Digest of State Laws Related to Alcohol and Highway Safety
- Alcohol and Highway Safety 1984: A Review of the State of the Knowledge
- Improved Sobriety Testing Program
- The Drunk Driver and Jail: Problems, Options, Action STEPS
- The 5 S's of Community Service, A handbook of community service restitution programs for alcohol-related offenders.
- National Drunk and Drugged Driving Awareness Week - 1984, Final Report

OVERALL PROGRAM RESULTS

- REDDI Programs

  Report every drunk driver immediately (REDDI) type programs are being employed in 35 States. The strength of these programs is that they provide millions of extra eyes for the police in detecting DWI and serious violations when they are occurring.

  In Maryland, for example, in the first year of operation, 9,134 calls were received for reports of DWI. Approximately one-half were CB reports.

  -- 3,348 of 9,134 reported were located and stopped;

  -- 1,251 of the 3,348 stopped were arrested for DWI;

  -- This means that 37 percent of those calls were located and stopped and 37 percent of those stopped were arrested for DWI.

- Legislative Advances

  A broad range of alcohol-related legislative activity has occurred in the State Legislatures during the past five sessions.

Year	Introduced	By # of States	Enacted	By # of
1981	276	31	44	26
1982	378	39	47	23
1983	776	49	129	40
1984	871	44	108	35
1985	1,338	49	223	45

OTHER HIGHLIGHTS

- Project Graduation - thirty-five States participated in 1984. All fifty States participated in project graduation activities in 1985.

- Over 1,000 police instructors from all States have been trained in horizontal gaze nystagmus.
- Thirty-four States are sponsoring alcohol server education programs and at least five national restaurant chains have alcohol training programs.

RESOURCE REQUIREMENTS ($000)		
	FY 1985 Appropriated	$1,632
	FY 1986 Enacted	$2,152
	FY 1986 After Sequestering	$2,147
	FY 1987 Request	$2,152

PLANNED UNDER FY 1986 APPROPRIATION AND FY 1987 REQUEST

	FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
1. Alcohol Public Information/Education	$439	$860	$855	$820

State and local public information programs will be supported through NHTSA efforts to utilize existing materials and approaches as the basis for information sharing and technology transfer. By supporting the needs of locally based comprehensive drunk driving programs through such activities as providing camera ready reproducibles, workshops, model activities and guidelines, NHTSA enables local officials to obtain greater leverage with limited resources in order to coordinate broad based and multi-faceted public information programs. Materials collection, development, modification and dissemination will be consistent with audience and program research and evaluation results.

Existing marketing research on high risk drinker drivers will be collected and analyzed to identify more effective strategies and techniques with which to communicate the drunk/driving problem. Detailed examination will be performed to determine further stratification of these audiences and their characteristics, while suggesting the appropriate media strategies and approaches for modifying their behavior.

A three-part prevention/intervention public information and awareness project will raise awareness and educate the general public by reaching the scientific community through the publications and will provide documentation of demonstrated program effectiveness to individuals working in the field through a series of special articles.

Comprehensive youth DWI programs will be expanded with the objective of changing the perceptions and attitudes of this highly over-represented group in both crashes and alcohol-related violations. It is expected that the promotion of more responsible behaviors through community action with this group will ultimately lead to a reduced incidence of drinking-driving and a positive societal change in attitudes and mores.

Networking techniques and peer pressure will be used to reach potential motorcyclist alcohol offenders, and to support trauma care system development. The new initiatives for 1987 are designed to address program shortcomings and to expand the alcohol program range of influence and for greater impact. These projects include a marketing analysis of high risk drinker-drivers; the development of college alcohol awareness programs; and alcohol and highway safety program networking in support of EMS trauma systems and motorcycle safety programs.

	FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
2. Alcohol Program Management/Evaluation	$466	$582	$582	$577

State and local program management will be strengthened through management and systems training at workshops and seminars. These efforts will be the catalyst for increasing the number of local comprehensive alcohol traffic safety programs. Techniques for obtaining total community involvement will be highlighted and action plans developed for subsequent follow-up and technical assistance.

The success or failure of State and local highway safety programs is dependent upon their management and evaluation. Even carefully designed and well managed programs are doomed to failure unless competent evaluations are conducted and the results used to make the programs more effective.

To meet these needs, an evaluation training course will be developed and offered for highway safety evaluators, analysts and statisticians. NHTSA also will offer assistance in data processing and analysis to measure the effectiveness of community-based alcohol countermeasures programs. Special assistance and support will be provided to evaluate State programs funded under Section 408, the Alcohol Traffic Safety Incentive Grant Program, as well as for unique or innovative State program activities.

In addition to evaluation of conventional approaches to highway safety programs, States and communities will be solicited to participate in innovative project evaluations in order to determine new and creative approaches and technologies relating to the reduction of the drunk/driving problem.

The training program continues to expand and fulfill the human resource needs of State/local programs to effectively implement all components of the model six point alcohol program. New/modified courses will be offered. In addition, the need to isolate alcohol program issues, such as mandatory jail, community services, and other innovative sanctions, in the State and communities, through effective evaluation techniques continues to grow. In addition, evaluation of the Section 408 program is also included for FY 1987.

3. Alcohol Technology Development/Evaluation	$727	$710	$710	$755

It is of little value to improve products and procedures in the various highway safety disciplines if the new technology is not made known to people in the public sector at the State and local level. Ways must be found to transfer the information quickly and the information exchange must be formalized rather than leaving it to chance. In the field of police enforcement this will be accomplished through training to improve drug recognition and to establish standardized DWI enforcement procedures in State and local police departments. The existing alcohol-related selective enforcement manual will be updated for State and local police agencies and chemical test programs will be improved through the evaluation of breath and saliva testing instruments and passive alcohol testing devices.

Court related functions will be strengthened. The DWI adjudication system will be supported by judicial education, training and technical assistance in case management, processing, record keeping, and offender tracking and control. Additional training will be offered for DWI prosecutors and judges in a programmed learning format and a network to provide assistance, training and support to prosecutors will be designed and tested. The juvenile DWI justice system will be studied independently, an assessment will be made of correctable weaknesses, and a plan of action developed.

For purposes of prevention/intervention, target groups will be identified and materials and technical program assistance will be provided to meet the needs of State and local communities. Technical program papers will be developed and presented at a series of workshops designed for program improvement as well as post-conviction management of convicted DWI offenders. A prevention/intervention information dissemination plan will be developed and implemented, articles will be prepared for publication in appropriate scientific journals and magazines, and a project will be developed to achieve the commitment of private and public sector employers to promote on-site workplace programs.

As one of the more effective DWI countermeasures, driver licensing issues will be addressed through the presentation of authoritative papers before State safety officials followed by the publication and distribution of the information presented, and by offering testimonial services by State officials who have taken leadership in various licensing roles. Workshops for middle managers will be sponsored by host jurisdictions and conducted at State police training facilities to minimize the cost.

In the broad perspective, States and communities will be urged to increase their efforts to develop more cost effective and efficient approaches through implementation of comprehensive highway safety programs. In this manner, program components common to drunk/driving, occupant restraints and emergency medical services can be integrated into a unified program approach.

In essence, the increase in alcohol development and transfer represents the implementation of new initiatives, primarily in the adjudication and prevention/intervention countermeasure areas. New projects in adjudication represent the development of methodologies to reach more prosecutors and judges on the effectiveness of sanctioning options for multiple offenders; identifying effective licensing/treatment approaches and expansion of community service programs.

The increase in the prevention/intervention area represents a much needed expansion of the countermeasure area. Efforts include the transfer of prevention/intervention technology to State and local communities, expansion of employers initiatives/server liability and prevention workshops to increase awareness and to get more and more people to actively intervene to prevent drivers from driving when impaired.

FISCAL
YEAR
1987

PROGRAM: HIGHWAY SAFETY PROGRAM

TITLE: NATIONAL OCCUPANT PROTECTION PROGRAM

MAJOR PROGRAM OBJECTIVE

To increase the usage of safety belts and child safety seats by: (1) increasing the public's awareness of the probability of being involved in a crash; (2) increasing the public's understanding of the benefits of occupant restraint usage; (3) providing information and assistance concerning specific actions individuals and organizations can undertake to increase usage of safety belts and child safety seats; and (4) assisting the States in implementing mandatory safety belt laws by providing technical assistance and support for enforcement and evaluation. NHTSA is promoting a number of programs designed to increase safety belt and child safety seat use. These program elements are:

- Public Information
- Face-to-Face Education
- Incentives for Use
- Use Requirements

Each element can be promoted by several types of groups which have been enlisted to support the program. These groups are:

- Mass Media
- Employers in Corporations and Other Businesses
- Service, Medical Health, Education and Police Groups
- Federal/State/local Governments

Program support factors include:

- Top level commitment
- Systematic recordkeeping
- Program continuation
- Outreach to families and communities
- Program evaluation

PROBLEM AND GOALS

Motor vehicle crashes are the leading cause of death for persons in the age group of five through 34. An effective occupant protection usage awareness program is vital because safety belts and child safety seats have the greatest potential for immediate and dramatic reduction in death and injury rates of any highway safety measure.

Despite the convenient accessibility of safety belts, only about 23 percent of the general population currently uses them and 56 percent of infants and children (birth to 4-years-old) are placed in child safety seats. The problem facing the highway safety community is how to administer programs which will have a greater likelihood of success for increasing the use of available protective devices, and the correct use of child safety seats, by the motoring public.

BENEFITS

On a national basis, use of safety belts can reduce injuries and deaths by 40 to 50 percent. Child safety seats, when properly used, can reduce injuries and deaths by about 70 percent. NHTSA estimates that an additional 7,900 to 10,100 fatalities and 117,000 to 145,200 moderate to critical injuries could have been avoided in 1984 by the use of these safety restraints by all passenger car front seat occupants. When used, safety belts and child safety seats are the most effective motor vehicle crash injury and fatality countermeasures available.

ACCOMPLISHMENTS

Resulting from the Safety Belt and Child Safety Seat Program:

- The most recent observation data indicate that safety belt use has increased to about 23 percent during the first half of 1985 from about 11 percent in 1982. Child safety seat use is now about 56 percent, more than triple the levels of 1979.

- All 50 States and the District of Columbia have enacted laws requiring child safety seat use.

- In July 1984, the State of New York passed the first State mandatory safety belt law for adults. The law became effective January 1, 1985. The State reports that occupant fatalities in the first 9 months of 1985 were down by 17 percent when compared with the average January through September death toll for the previous 5 years. There were 795 occupant fatalities in 1985, compared with the 5 year average of 960, a saving of 165 lives.

- Since New York passed its safety belt use law, 15 States and the District of Columbia have passed similar laws, as of January 22, 1986. Such laws are in effect in 13 States and the District of Columbia.

- Since January 1984, NHTSA has conducted approximately 30 community occupant protection program planning workshops to aid local and State highway safety personnel to develop and implement comprehensive programs.

- Since January 1985, NHTSA has conducted 8 child safety seat workshops to assist States with recently passed child safety seat legislation to design and execute enforcement, education, and loaner programs that are essential to effectively administer these laws.

- Most States have completed comprehensive planning for safety belt and child safety seat programs.

- Most States are actively stimulating community based programs for safety belt use. Over 70 communities currently have programs in operation, and many more are being planned.

- DOT is cooperating with the Department of Defense in conducting a comprehensive safety belt program both in the U.S. and in foreign countries.

- NHTSA has now enlisted, through contract and informal agreement, the assistance of more than 50 national organizations to conduct face-to-face education. Included are groups like the American Red Cross, PTA, Girl Scouts, medical and health groups, driver educators, and police organizations. A principal goal of the efforts is to equate using safety belts and child safety seat with good health, to stimulate grassroots support at the community level, and to institutionalize safety belt programs with these groups so that future support from NHTSA can be greatly reduced.

- More than 2,400 corporate organizations and 800 trade associations use materials developed by NHTSA in their safety belt projects and campaigns.

- Program materials have been distributed to more than 900 corporate fleet managers.

- Participating employers with comprehensive safety belt programs (those that include a strong commitment by management, an enforced use policy, promotional activities, incentives and evaluation), show significant increases in belt use by their employees.

- Several trade associations and professional societies are actively encouraging, promoting and distributing program data to stimulate and expand safety belt activities among their member companies.

- Over 700 additional trade associations have been identified and their names entered into a NHTSA database for ongoing involvement in belt use program promotion for their member organizations.

- A booklet entitled "The Profit in Safety Belts: Guidelines for Conducting Employers Safety Belt Workshops" has been developed by NHTSA to complement an introductory booklet and a handbook. They are designed to aid employers in implementing and operating belt use programs. Wide dissemination has been initiated.

- The Department of Transportation has developed a "Federal Government Network" aspect of the national program. Working with the Department of Labor, safety belt promotion materials have been distributed to Federal employees in the field using the 89 Federal Safety and Health Councils. Regional officials and managers were reached through Federal Executive Boards.

- Several Executive Departments now have mandatory safety belt usage policies, coupled with some training and awareness activities. A proposed Presidential Executive Order on Federal Agency Safety Belt Use Programs has been developed and is being reviewed by the Office of Management and Budget.

PROGRAM: HIGHWAY SAFETY PROGRAM

TITLE: NATIONAL OCCUPANT PROTECTION PROGRAM

RESOURCE REQUIREMENTS ($000)		
	FY 1985 Appropriated	$4,104*
	FY 1986 Enacted	1,923
	FY 1986 After Sequestering	1,923
	FY 1987 Request	5,000

PLANNED UNDER FY 1986 APPROPRIATION AND FY 1987 REQUEST

1. STATE AND LOCAL PROGRAM ASSISTANCE

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
$1,605	$565	$565	$1,450

Public understanding of the need for occupant protection and the contribution which automatic and manual systems make toward reducing the serious public health problem of motor vehicle crashes will be crucial for the implementation of State safety belt use laws and the public acceptance of automatic devices in new cars. These devices will appear in the marketplace beginning in model year 1987 as a result of the FMVSS 208 rulemaking. Positive results from States which have passed use laws will be the most important factor in influencing other States to pass laws. Those States which pass laws must be assisted in effectively implementing their laws and evaluating the results in a consistent manner to assess the benefits of use laws.

States with mandatory safety belt use laws will be supported in their implementation of such laws, as was the case in the initial stages of child passenger safety legislation. Such support will be in the form of assistance in developing and producing public information materials, developing and implementing effective enforcement procedures, including law enforcement training and education, and the stimulation of comprehensive community-based programs within such States. Support will also be used for evaluating the results of such laws, including the changes in safety belt use rates, changes in fatality and serious injury rates, and associated changes in public assistance and private sector costs.

State and local organizations will be given technical and financial assistance to educate the public on motor vehicle accidents as a major public health issue and on the need for the increased use of occupant protection systems. Management courses will be conducted for personnel from State and community organizations that will be promoting occupant protection programs. Participants will include community volunteer, public health, and safety

* Includes $1,923 million provided by direct appropriation and $2,181 million derived from internal reprogramming and carryover funds.

organizations as well as State Highway Safety Agency personnel as necessary to establish working relationships and expectations between the State and community levels. Course materials will include audiovisual kits and printed training materials necessary for community program planning and implementation. Emphasis will be placed on education of the public about existing manual restraint systems, automatic protection systems, crash dynamics, and societal costs (of non-protection) and benefits of occupant protection devices. Educational meetings will be held for interested State and local officials and their key staff members to increase their knowledge and awareness of the benefits to be gained from increased occupant protection, of the most effective programs for implementing and enforcing use laws and of evaluating their results. Community programs are an important component of the implementation effort and support will be provided for these community efforts.

The benefits obtained from these programs include public understanding and demand for improved occupant protection systems in the marketplace, public acceptance of their use as socially responsible behavior and a preventive health practice, improved official support for the effective implementation of belt use laws and their evaluation, and the documentation of the results obtained from increased belt use and mandatory use laws. In order to achieve these benefits, the primary program targets will be public officials, the general public, enforcement agencies and community program coordinators, volunteers and safety groups.

The FY 1987 increase in funds will permit grant awards to States with newly enacted laws to assist in their implementation and to obtain evaluations of the impact of these laws on belt use and on injury accidents. The States' evaluations will provide a picture of the benefits of such legislation to encourage support for existing and additional laws, public education, and enforcement programs.

2. NATIONAL ORGANIZATIONS PROGRAM

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
$1,127	$241	$241	$650

One of the most effective means for educating the public is through intermediaries. One of the first activities initiated by the Occupant Protection Program was the establishment of cooperative agreements and programs with civic/service, education, child passenger safety, and law enforcement groups. Most have expanded their traffic safety interests with more emphasis being placed on automatic protection, State legislation, coalition building, and coordination with State highway safety programs. Some are beginning to promote other traffic safety issues such as alcohol countermeasures and pedestrian safety. Others have not been previously involved in traffic safety issues. Examples of targeted groups are organizations that provide education/services to minorities, public-at-large, older adults, school-aged children and physicians.

Implementation of comprehensive statewide programs and of safety belt laws, as well as the expansion of understanding of automatic protection, rely heavily on the educational outreach of many of the national organizations. In an effort to reach the majority of local members and the public they serve, State affiliate organizations will design and implement statewide occupant protection educational programs. Standardized training and educational programs will be implemented at the national and State levels and coordinated through the State Highway Safety Offices. Minigrants (small competitive grants to an individual member or a local unit to conduct year-long educational activity in a given community) will also be coordinated at the State affiliate level. This activity will build on the demonstrated success of previous projects with organizations such as the American Public Health Association, American Red Cross, and U.S. Department of Agriculture Extension Service/National Homemakers Council.

Over the past several years these organizations and others have received hundreds of minigrants and thousands of audiovisual resource kits for their members use. Networking at the State and local levels with other organizations and State Highway Safety Offices was encouraged and or required. The process of networking, coordinating and sharing of information and resources, has subsequently aided in establishing relationships at the State and local levels, as well as in institutionalizing occupant protection information in educational programs. Examples of these activities include the Kalamazoo, Michigan Chapter of the Red Cross, which became one of fifteen national model community programs; the Red Cross KISS (Keep Infants in Safety Seats) Program is now endorsed nationwide within Red Cross Chapters; and several public health minigrants have expanded to permanent employee and public education programs.

The increased funding will be directed to involving additional national organizations in training for and implementing statewide programs and in establishing community programs through the use of minigrants.

3. CORPORATE EMPLOYER PROGRAMS

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
$264	$181	$181	$820

According to the National Safety Council, 4,100 people died in work-related vehicle accidents in 1983. The American business community is potentially the most effective intermediary to influence use of safety belts, child safety seats and the automatic frontal crash protection technologies now entering the marketplace. The business community is the nation's largest employer and is in a unique position to influence people quickly and effectively. This item covers not only the business employer but also the government employer and the entire employee group itself as represented by labor unions.

The first step in the establishment of employer programs is to sell top management on the need. One project thus provides for the planning, organization and implementation of occupant protection workshops for Chief Executive Officers (CEO's) of major corporations. A companion project provides for planning, organization and implementation of occupant protection program workshops for Safety Directors within companies whose CEO's have indicated an interest in adopting an occupant protection program for employees and their families. The latter workshop is more detailed and provides "how-to-do-it" guidance. Other channels for reaching the business community will be occupant protection program training for members of national professional societies who can go to their employers with a program for employees and their families and occupant protection program promotion within national trade associations.

A booklet entitled, "The Profit in Safety Belts: Guidelines for Conducting Employers Safety Belt Workshops" has been prepared for use by State and communities in planning, organizing and conducting CEO and Safety Director Workshops. This booklet is based on the extensive experience of the State of Pennsylvania in conducting safety belt workshops in five major metropolitan areas within the State. As one example, a workshop conducted in Lancaster County was attended by approximately 100 persons representing companies in that area with 300 or more employees each. A followup questionnaire mailed one month following the workshop revealed that 72 companies were planning or actually conducting an employee safety belt program. Twenty attending companies conducted a before/after survey of employee safety belt use. The results indicated an average employee belt use rate of 11 percent before initiation of the program and an average of 84 percent after the program was introduced.

In the government employer sector, NHTSA will work with the administrators, managers, supervisors, and professionals having full-time and/or collateral-duty responsibilities under the Occupational Safety and Health Act as they affect Federal agencies. The emphasis will be upon the potential for reduced fatalities and reductions in injuries resulting from both on-the-job and off-the-job motor vehicle crashes. A similar activity will be promoted with States to reach out to State and local public sector managers responsible for employee safety.

Using the established corporate/employer "intermediary" model NHTSA plan to reach out to national labor organizations in order to implement belt use programs that have potential for reaching 20 million workers.

Increased FY 1987 funding will support workshops for Chief Executive Officers and Safety Directors in several additional States. There will be an expansion of the programs for reaching employers and employees at conventions, through labor organizations and through national trade associations and professional societies.

4. EVALUATION AND PLANNING SUPPORT

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
$588	$280	$280	$1,080

Combined in this line item are program activities concerning an information system, evaluation and logistics support.

The purpose of the National Occupant Restraint Information System (NORIS) is to serve as a central data file to enable systematic collection and efficient retrieval of information which identifies occupant protection activities being conducted throughout the nation. Programs will be written enabling users to obtain easy access to such data and to summary reports, through "user-friendly" menus. Several activities will be conducted to ensure that the NORIS database is made available to users and to ensure that data is collected, input, and updated on a routine basis. As a result of meetings with State and local officials, it has become clear that the States need an information system such as NORIS. Having access to such a system would greatly assist them in their annual planning process, the management of their own projects, as well as responding to daily inquiries for safety belt information. To accommodate this, NHTSA is planning to greatly accelerate the development of NORIS and will include an expanded summary information system (Bulletin Board) which may be used by the States on a regular basis.

Evaluation activities will include safety belt usage observation surveys and administrative evaluation. Usage surveys provide the major impact evaluation of MUL effectiveness. The results of the evaluation of the MULs will enable highway safety officials throughout the nation to effectively plan countermeasure programs, and will serve as the basis for other States to determine potential impact of a mandatory law in their State. It is critical that the observation surveys be designed and correctly conducted to ensure that usable data is being gathered. Critical MUL States will receive funding to perform observational surveys. Each 15-month study will include a baseline and three additional data collection points. This project will provide funding for the surveys, as well as expertise in design and monitoring of safety belt usage.

Administrative evaluation is a management tool which provides effectiveness measures of program efforts with the national organizations, minigrants, corporations, State and local community projects. These measures of effectiveness are critical in considering where to streamline the programs and in indicating the most effective activities and key interest areas. Survey results will include an inventory and analyses of activities and materials use.

Logistics support basically covers the purchase and distribution of educational materials for the safety belt, child safety seat and passive restraint program. Educational materials are essential to the success of a program designed to persuade people to use safety belts and child safety seats and to inform the general public about passive restraint systems. The groups that get involved in the program find it very helpful in the planning and implementation of their programs to have good educational materials made available to them at no cost. Educational materials will be shipped to the user, or to an intermediary organization/site, or to exhibit sites through a variety of shipping arrangements. This project basically provides for rapid shipment of a small number of items and for shipment of a large number of items going to a single location.

The additional funding will be used to conduct additional observation surveys in some unique State programs, to expand the administrative evaluation of various program efforts, to convert the NORIS to an in-house system to effect operational cost reductions and to purchase additional educational films and print materials.

5. MEDIA PROGRAM

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
$520	$250	$250	$500

Most Americans believe that safety belts work and that, as individuals, they are better off wearing belts in the event of an accident. They do not, however, believe that they are likely to be involved in an accident and they need frequent reminders to use safety belts.

Media exposure and promotional activities are vitally important tools to reinforce occupant protection programs. It is essential that the public be constantly and effectively reminded to use safety belts and that they understand and accept automatic frontal crash protection technologies now being introduced to their marketplace. The most efficient and cost-effective means of delivering these messages is through airtime and space voluntarily contributed by the media which prefers high quality, fresh, up-to-date material. Since the average lifespan of public service advertising materials is 90-120 days, replenishment of the PSA pool is necessary to entice the media to provide airtime and print space.

The project includes the development, production, and distribution of public service advertising materials (electronic, print and outdoor, collateral materials) and promotional activities. Materials will be designed to promote safety belt use and understanding of automatic frontal crash protection technologies. Public exposure to these materials is expected to increase awareness to the importance of belt use.

Additional FY 1987 funds will provide for the development and distribution of more public service advertising print and electronic media materials. Media marketing workshops will be held in several additional States.

6. PASSIVES EDUCATION PROGRAM

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
-0-	$406*	$406*	$500

Information on passive protection is necessary to overcome the lack of knowledge and misinformation that now exists regarding these safety devices and to encourage public acceptance of these devices, since a portion of the new Model Year 87 car fleet will contain this equipment.

The NHTSA will prepare targeted educational material explaining the lifesaving value of passive restraints with particular emphasis on material appropriate for distribution at the point of automobile sale or lease. For example, NHTSA will develop print and video materials to be used by American Automobile Leasing Association in their effort to encourage their members to purchase passive restraint equipped cars.

Funds will also be used to develop and distribute basic factual materials (1) describing automatic protection systems -- what they are and how they work, and (2) clarifying the facts and myths now surrounding passive systems.

Public concerns still center around the reliability, safety, and cost of automatic protection systems. Demonstration fleet programs and factual, clear and concise printed and audiovisual information are needed. A comprehensive program will help to enhance public understanding of the need for occupant protection and passive systems. The outcome is public acceptance of automatic protection as desirable safety features in the automobiles which they purchase.

The additional funds would provide for the duplication of films, fact sheets, brochures and booklets for distribution in a comprehensive educational program.

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* An additional $94K is included in the research and development program.

FISCAL
YEAR
1987

HIGHWAY SAFETY PROGRAMS

TITLE: COUNTERMEASURE IMPROVEMENT AND SUPPORT PROGRAMS

MAJOR PROGRAM OBJECTIVE

Successful traffic safety efforts include the capability to accurately determine the extent of accident experience and causative factors and to then develop practical, cost effective countermeasures that will have the greatest potential for accident and injury reduction. These efforts must focus on prevention of serious injury accidents with special attention given to the unique safety problems of motorcycle operators, and young drivers who are over-represented in the injury statistics. Providing prompt, quality emergency medical treatment for accident victims is also essential to reduce deaths and the severity of injury resulting from these crashes. The various program initiatives described herein are intended to foster the development of comprehensive community based programs that will have the greatest impact on accident rates. The major objectives of this program area are to develop model traffic safety strategies, countermeasures, guidelines, and other information that will improve the effectiveness of Police Traffic Services (PTS), motorcycle safety, driver licensing programs, and emergency medical support services. Project results will be provided to State and local police, highway safety officials, Emergency Medical Services (EMS) Directors, and State Directors of Law Enforcement Training for use in improving traffic safety programs.

PROBLEMS AND GOALS

Studies reveal that about 85 percent of all motor vehicle crashes involve some type of moving violation on the part of the vehicle operator. Analysis of serious traffic crashes reveal that excessive speed and alcohol use continue to be predominant causative factors in these collisions. It is also known that well designed selective enforcement programs can reduce traffic crashes, fatalities, and injuries significantly. Further, experience has indicated that traffic safety programs are most effective when they are comprehensive State and/or community based programs. Previous selective enforcement programs implemented by law enforcement agencies have not always involved the active support and participation of other community agencies and interest groups. Examples are the role that educators, prosecutors, judiciary, and civic organizations can have in traffic safety programs. When local community support and involvement exist for traffic safety programs, the efforts are more likely to be self-sustaining and have long term, lasting influence on accident rates.

The expected continued growth of local law enforcement agencies requires that all police agencies recognize the vital role of PTS in any traffic safety program. Enforcement resources allocated to traffic enforcement by local agencies are in direct competition with demands for other types of police services. Consequently, traffic safety programs have not always received the priority needed to adequately address traffic problems.

Law enforcement administrators and the leadership of their professional organizations like the International Association of Chiefs of Police (IACP) and the National Sheriffs' Association (NSA) advise us that despite the fact that twice the number of persons are killed in motor vehicle crashes as are murdered and that financial loss attributable to these crashes approaches 10 times that lost through criminal activity; the message they receive from their service areas indicates that citizens have a greater perception of risk from crime than from traffic related incidents.

This state of mind makes the continuation (funding) of traffic related law enforcement activities difficult, at best, unless the general public can be better informed and more involved in traffic safety related problems. They offer the high success rates in dealing with alcohol related problems in communities with citizen activists groups, such as MADD, as evidence of the veracity of this hypothesis.

They further indicate that there are needs for:

- Material which would assist law enforcement administrators in fostering citizen interest and involvement in community based programs. Also there is a need for instructional material in dealing with the media;
- A data collection and analysis capability which would not only be useful for resource allocation and evaluation but that would provide easily accessible accurate information that would be used to inform the community of the dimensions of the problem.
- Some vehicle which might be used to demonstrate that traffic enforcement does not occur in a social vacuum, it has an impact on other areas of concern as well;
- A tool that could be used to measure the effectiveness of enforcement efforts or to better relate incident experience (high or low) to other communities of similar size much the same as the Uniform Crime Report is used for criminal activities.
- Any materials, programs, or documentation on methods which can be used to diminish manpower losses and to increase the effectiveness of the resources available.

Guidelines for a comprehensive traffic safety program involving both State and local law enforcement with support of community agencies and traffic safety interest groups will be finalized, reproduced, and distributed. In addition, the second phase of a study of the impact of PTS on crime will be carried out and the results provided to the law enforcement community (some law enforcement experts believe that active traffic enforcement programs will also result in a reduction of certain types of criminal activity). We will also complete, reproduce, and distribute a Comprehensive Traffic Administration and Enforcement Program Manual which will incorporate recently completed materials and the work completed by the Offices of Occupant Protection and Alcohol Countermeasures. The Manual will provide guidance for law enforcement agencies in the design and implementation of comprehensive community based highway safety programs.

Enforcement agencies often have difficulty in efficiently collecting and analyzing accident and enforcement data to accurately identify high accident locations and causative factors. It is essential that accurate problem identification occur so that countermeasures designed to impact accidents are not misdirected. A management information micro computer software package designed to facilitate accurate problem identification and temporal resource allocation will be pilot tested, duplicated, and distributed nationally.

Unlike the Uniform Crime Report for criminal offenses and criminal enforcement activities, a uniform reporting system to assess traffic accident and traffic enforcement data on the national, State, or local level has not existed. In this year, the first voluntary Uniform Traffic Report (UTR) containing highway safety related data from 100 police agencies will be printed and distributed. The report will assist comparative analysis by individual police agencies of their incident experience and activity levels. In addition, the report will assist in determining the effectiveness of PTS.

The continued impact of excessive speed in serious accidents emphasize the need to insure the integrity of speed enforcement efforts. The test program for speed measuring equipment (radar) will be continued through the IACP in an attempt to maintain the level of accuracy of the instruments made available for purchase by law enforcement.

A Model Radar Instructor's Training course will be developed and and distributed to the law enforcement community.

Motorcycles constitute 4 percent of registered motor vehicles, but motorcycle accidents account for 10 percent of fatalities. Over 80 percent of all motorcycle accidents result in injuries or deaths. The goals are to reduce fatalities and injury by (1) increasing the knowledge and skills of motorcycle operators in order to operate motorcycles safely; (2) ensuring improvement in skills and knowledge by improving operator licensing; and (3) ensuring the use of safety helmets, and conspicuity enhancement awareness.

Young drivers age 15-24 represent 20 percent of the licensed driver population, but they are involved in 34 percent of all crashes. The goal is to reduce the crashes of young drivers by promoting State adoption of jointly developed NHTSA/State provisional driver license guidelines.

A major deficiency in State driver licensing programs is the lack of adequate testing of vehicle operators and the existence of multiple licenses and records of commercial vehicle operators. Goals of this program are to (1) ensure that all applicants have the necessary knowledge and skills for operating motor vehicles safely; (2) encourage non-member States to join the Driver License Compact; and (3) encourage States to adopt provisions of a classified driver license program. These goals are part of the Secretary's truck safety initiatives.

Trauma caused by motor vehicle accidents is the major cause of death in those under the age of 40, and youths aged 15-24 are almost three times more likely to die from motor vehicle accidents than any other cause. Experience in EMS systems development across the nation clearly indicates that emphasis on certain elements of the EMS system can have a dramatic positive impact on trauma mortality and morbidity. There is a lack of highway accident injury management information systems to assist State and local officials in identifying gaps between resources, highway safety needs, and response of the system to highway accident patients; inadequate public awareness of how to access the EMS system to assist highway accident casualties; decaying of skills on the part of prehospital providers who must provide emergency trauma care until the patient is delivered to the hospital; inadequate categorization of primary care facilities with respect to trauma care capability; improper patient routing from accident site to hospital or from hospital to hospital; insufficient basic training of prehospital personnel with respect to trauma care of select accident populations such as neonates and infants, and the lack of a national curriculum for the training of aeromedical technicians who are responsible for transporting the most seriously injured trauma patients. Another contributing factor is the lack of consensus quality standards for practice, care, and equipment from State to State leading to large pockets of "poor systems."

In the past, the EMS program assumed that broad support of prehospital EMS services would ensure adequate care for the highway accident patient. While significant improvements have been made in prehospital care for all types of patients, including trauma patients, it is now time to focus more resources and effort on the trauma problem. Furthermore, the focus of the program will extend beyond the prehospital into the primary care setting to assist States and communities in establishing true systems of trauma care. Where such systems exist, mortality has decreased from pre-program measures between 5 and 20 percent for individuals having a probability greater than 50 percent of dying from traumatic injury.

Several benefits accrue as the result of focusing the EMS program resources on trauma care. First, available EMS resources will not be diluted to support the general responsibilities of EMS; rather, the resources will be directed at improving the care provided to the highway collision patient, i.e., the trauma patient. Secondly, the new focus integrates EMS into the continuum of highway safety countermeasures from injury prevention through injury reduction.

The specific goal of the EMS program is to effect improvements in emergency care of trauma victims by conducting projects which address each of the problems enumerated previously. Specifically, we will assist States and communities in adopting quality standards of care, maintain and improve the skills of prehospital personnel involved in trauma care, improve State and community EMS response to highway accident needs, improve public awareness of EMS access for trauma patient care, and improve EMS management practices and trauma system organization to provide the highest level of trauma care which can be perpetuated into the future by the States and by Regions within the States.

BENEFITS

By providing States and communities with improved/new guidelines, procedures, training, and equipment specifications, current law enforcement traffic safety efforts will be improved. The value of community based comprehensive programs must be demonstrated so that we can promote more widespread application within the local enforcement community (17,000 local police agencies). Better police traffic data systems will result in the design and implementation of more cost effective selective traffic enforcement programs. For example, well designed and implemented comprehensive selective enforcement programs have been proven to reduce traffic crashes, fatalities, and injuries by as much as 10 to 30 percent. (Maryland's comprehensive DWI enforcement program produced a 16 percent reduction in fatalities that was sustained for a 3 year period. A comprehensive selective enforcement project conducted in Milford, Connecticut, achieved a 22.4 percent reduction in traffic accidents or 2,800 fewer accidents and a savings of 5.9 million dollars.)

Improved motorcycle rider education and licensing procedures can reduce the accident rate by 6-21 percent for motorcycle operators. The University of Southern California conducted an accident investigation project and found that untrained operators were over-represented in accidents by a factor of two. The California Department of Motor Vehicles conducted an improved licensing evaluation project and found that riders taking improved licensing tests achieved a 15 to 21 percent lower accident rate than riders conforming with the standard licensing requirements.

Thousands of lives can be saved and highway accident injury morbidity reduced if trauma care through efficient emergency medical care services are adopted. As mentioned previously, results of an analysis of a trauma registry on 24 comprehensive programs currently existing in the nation, indicate that development of such systems can have an immediate impact by saving between 5 and 20 percent of those trauma patients having a 50 percent probability of dying. Applying the conservative figure of 5 percent to the current annual highway accident death rate of 44,600, suggests that efforts to improve emergency medical services will decrease this rate by 2,130. The impact of improved trauma systems on injury morbidity is unknown, but could represent an even more significant figure. From a cost/benefit standpoint, the savings in lives can far outweigh the public cost of maintaining quality EMS.

ACCOMPLISHMENTS

Model training courses and manuals have been developed for use by law enforcement agencies which include: "Personnel Performance Evaluation; Emergency Vehicle Operators Training; PTS Basic and Supervisory Training; and Driving While Intoxicated (DWI) detection." A new DWI course with improved field sobriety testing techniques has been developed and is currently being provided to law enforcement trainers with a goal of training 1,000 instructors who will then train enforcement personnel. A new safety belt and child safety seat use course has now been given to in excess of 1,000 trainers who have in turn trained over 5,000 line officers. These are examples of the application of the model courses, all of which have been widely accepted and incorporated into police training curricula. Copies of both Volume I and II of the radar test reports were distributed to 1,500 major law enforcement agencies.

The Commission on Accreditation for Law Enforcement Agencies with partial financial support by NHTSA funds has completed work on the adoption of 980 standards for the accreditation of police agencies. Approximately one half of these standards directly relate to PTS and it is anticipated that police agencies will upgrade their administrative and operational processes to meet the standards and qualify for accreditation. Over 200 law enforcement agencies applied for accreditation. Accreditation will result in compliance with almost all of the "best" known enforcement practices in the delivery of PTS.

The National Association of State Directors of Law Enforcement Training (NASDLET) has completed an inventory of PTS training programs in use by law enforcement agencies. The inventory has identified gaps in training, programs due for updating, future needs and model training programs that are comprehenisve and sufficiently generic to be transferable. The inventory results will minimize the research efforts needed in the development of new training programs by making the aforementioned information available nationally.

The National Sheriffs' Association (NSA) was assisted in forming a Traffic Safety Committee and it is expected that NSA will now exercise a more active role in promoting traffic safety initiatives within the agencies represented by their organization. A major goal of this Committee is to increase the traffic related activities of Sheriffs' Departments. Recent activities of this organization have been the adoption of Traffic Safety Resolutions for mandatory seat belt/child safety seat restraints, use of front and rear reflectorized registration plates and a resolution urging NHTSA to research the pursuit driving policies and experience of law enforcement agencies.

With the dissemination and promotion of improved motorcycle knowledge and test materials, 37 States have adopted the Motorcycle Operators Manual (of this number 29 States have adopted the knowledge test for the manual), and 17 States have adopted the Motorcycle Operator Skills Test.

The Motorcycle Rider Education Evaluation Project, being conducted in New York State, will be completed in FY 1986. We will know the effect of training on crash reduction, and the relative cost-benefits of a 3-hour and a 20-hour education curriculum on motorcycle accident rates.

Research has indicated themes and approaches which will be most effective in promoting voluntary use of helmets and conspicuity enhancement techniques. The information will be promoted through the media and disseminated through a national and State network of organizations.

The Secretary's truck safety initiatives included DOT co-sponsorship with the Highway Users Federation for Safety and Mobility and the American Association of Motor Vehicle Administrators of a commercial driver licensing forum on January 23, 1986. The focus was on developing support among industry groups, safety organizatons, and the States for the one license/one record and classified licensing systems.

As a result of promoting the benefits of joining the Driver License Compact, the State of Missouri and the District of Columbia have become members. This brings the total membership to 31 jurisdictions.

In the EMS program, significant progress has been made in developing resources for initial and continuing education of prehospital personnel. A complete package for paramedic training, including the paramedic instructor manual, has been completed and will be published in the near future. Other training program packages which have been completed include an Instructor Training Course and a new curriculum for the EMT Intermediate.

A major emphasis has been placed on improving prehospital skills in the area of highway accident trauma management. A basic trauma life support training program for EMTs has been developed for those who do not deal with trauma on a day-to-day basis, and who must evaluate and manage the seriously injured patient during the critical time period immediately after injury. This trauma training program is intended to be presented as a continuing education course and does not represent a separate level of certification.

Training curricula are being developed for the training of aeromedical technicians; resources which are used for the transport of the most serious traumatically injured patients. The curricula and training materials developed under this project are directed at personnel providing aeromedical services through the 15 public safety and Federal programs providing such services nationwide. However, professional personnel from private and hospital-based programs are participating in the development of these materials, and it is anticipated that as many as 145 of these services will adopt the curriculum. A joint effort with the Department of Health and Human Services is underway to provide prehospital instructor training in the management of pediatric trauma. Current plans call for a total of 144 EMT Instructors nationwide to receive the training and to transfer it back to practitioners in their States. Finally, work is beginning on the development of low cost computer interactive training programs to improve trauma assessment and management in the field. The products of the latter project will be made available to hospitals and ambulance companies in order that prehospital personnel have a quick and available resource to review methods and improve skills.

A number of projects have been completed which are designed to improve administration of State, regional, and local EMS with respect to the management of resources to meet the highway safety need. A series of rural simulation reports is in the process of being published and distributed. These reports will permit administrators to answer "What types of questions with respect to the management of existing resources or the addition of new resources. The Proceedings of the National EMS Management Information Systems Workshop has been published and distributed. This defines a minimum EMS data set from which EMS Directors can assess progress in program development, cost/benefit, and quality control.

Nationally, the EMS program is supporting the work of the National Association of State EMS Directors in their effort to develop guidelines for national reciprocity of prehospital personnel. In addition, the program is supporting the newly formed ASTM F-30 Committee on EMS for developing EMS standards and guidelines. This ASTM Committee on EMS will develop EMS standards through the voluntary cooperation of those agencies, organizations, and industry groups committed to high quality EMS;

stimulate research, development, maintenance, and dissemination of standard disciplines, protocols, and devices involved in EMS delivery; and coordinate these activities with other organizations having a mutual interest. This project represents a major departure from previous Federal policy in EMS, in that, responsibility for developing EMS standards is being transferred to professionals in the field, as well as State and local government personnel who are legally responsible for licensing, certification, and equipment specifications in their locales.

In addition, NHTSA continues to provide leadership to the MAST (Military Assistance to Safety and Traffic) Interagency Executive Committee. The MAST program utilizes the military's helicopter and personnel resources to transport civilian emergency patients. The program assists over 3,000 patients annually.

RESOURCE REQUIREMENTS ($000)		
	FY 1985 Appropriated	$ 810
	FY 1986 Enacted	1,115
	FY 1986 After Sequestering	1,021
	FY 1987 Request	1,115

PLANNED UNDER FY 1986 APPROPRIATION AND FY 1987 REQUEST

	FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
1. Motorcycle Safety and Driver Licensing	$ 159	$ 175	$ 175	$ 165

Data on motorcycle rider education course effectiveness from the Motorcycle Rider Education Evaluation Project (MREEP) will be used to promote the implementation of rider education courses through a series of State and regional workshops. Implementation of the improved motorcycle operator licensing system will be promoted through direct technical assistance to the States provided through an agreement with the American Association of Motor Vehicle Administrators (AAMVA). The use of safety helmets and conspicuity enhancement techniques by motorcyclists will be encouraged through public information and education programs.

In driver licensing, the American Association of Motor Vehicle Administrators will develop guidelines and sponsor workshops and conferences to promote implementation of provisional licensing and driver examiner certification. Also, we will promote implementation of the Secretary's truck safety initiatives which include State adoption of the provisions of the Classified Driver License Program and the encouragement of non-member States to join the Driver License Compact. We will assist in funding Secretariat duties necessary for carrying on the work of the Driver License Compact Commission and the Non-Resident Violators Compact.

We expect that uniform implementation by the States of provisional licensing would result in benefits that parallel those derived from the Maryland Youth License Control Demonstration Project. This project showed a 5 percent reduction in crashes and a 10 percent reduction in convictions for 16 and 17 year old drivers. We also expect benefits to accrue with uniform State implementation of the following activities: (1) driver examiner certification will increase the effectiveness of screening of driver license applicants; (2) the Driver License Compact will enhance the ability of party States to deal with resident drivers who have been convicted of traffic law violations in other party States; and (3) the Non-Resident Violators Compact will equalize the delay and inconvenience of resident and non-resident motorists and save the time of law enforcement officers.

The request in FY 1987 will support development of motorcyclist education programs; improvement of State licensing tests; and the State adoption of the driver licensing and non-resident violator compacts.

2. Police Traffic Services	FY 1985 Approp. ($000)	FY 1986 Enacted ($000)	FY 1986 After Sequestering ($000)	FY 1987 Request ($000)
	$ [illegible]	$ [illegible]	$ [illegible]	$ [illegible]

The PTS program has changed its emphasis over the last few years and will continue to do so to meet the changing needs in highway safety. The primary emphasis will be toward improvement in the capabilities of law enforcement agencies to meaningfully contribute to the formulation of and/or to participate in comprehensive community based highway safety programs. The changing environment indicates a need for emphasis in the areas of increased resource availability, improved resource allocation, more cost effective operational approaches, evaluation, and information dissemination.

It is evident that PTS related activities are not of the highest priority in all but perhaps State law enforcement agencies. Reductions in resource availability, will therefore, affect lower priority activities first. In order to at least maintain current levels of effort, it is vital that we attempt to reduce lost manpower. A major contributor to lost manhours is police car crashes. By way of example, there is evidence that in the eastern portion of the country a number equivalent of up to 75 percent of a municipal police fleet's vehicles are involved in automotive crashes each year. In the far western portion of the country, the number reduces to about 33 percent. There is a corresponding loss of manhours resultant from injuries sustained in these crashes. In response to this identified need, we have developed proposed projects dealing with the identification of high risk law enforcement drivers, "burn-out" projections, driver behavior modification, on-site technical assistance, and evaluation.

Improved resource allocation has a high payoff potential in traffic related areas, particularly when viewed in the light of low priority and diminishing manpower. If limited resources are more accurately deployed, by specific location, high incident days, highest incident hours, and when better informed about the exact purpose of their assignment, there is evidence to support that not only their visibility but each enforcement activity will have a greater impact on the identified problem.

Programs intended to assist in this area include publishing the first voluntary Uniform Traffic (Data) Report. This report will facilitate the comparative analysis of activity levels and incident experience in agencies serving similar population sizes much the same as the Uniform Crime Report is being used today.

A micro-computer Management Information System (MIS) (software and user manual) will be distributed. This product is intended to heighten the specificity and accuracy of problem identification in order to obtain a greater payoff from resources invested. In addition, the MIS will facilitate participation in the Uniform Traffic Report and the use of previously developed agency performance measures.

An Executive Training Seminar for operational traffic law enforcement administrators will assist in updating and disseminating materials developed to impact on the previously enumerated problem areas.

On-site technical assistance will also be available on request. Reports on technical assistance rendered will be distributed nationally. Widespread distribution of these reports should benefit any other agency with similar problems.

Efforts directed at assisting in developing more cost effective operational approaches include the reduction in police car crashes, an evaluation of full time versus overtime PTS programs, more effective use of the media to heighten the public perception of enforcement activities, and a model program for the implementation/operation of citizen volunteer programs involving direct assistance to agencies.

PTS will continue its program intended to maintain the improved level of police radar operation and the equipment available for purchase by law enforcement agencies.

We will continue to monitor the IACP sponsored Consumer Products List and Compliance Testing Programs for police radar in order to ensure that radar operation by field personnel continues to become less complicated despite technological advances. Also we will continue to monitor the market place for new devices or enhancement which are reported to increase accuracy in speed measurement and target identification which should be laboratory tested.

An evaluation of the IACP Highway Safety Committee has resulted in an improved and expanded role in effectively networking with State and local law enforcement agencies on highway safety issues. The Committee has actively become engaged in development of new products and research promoting more efficient traffic enforcement strategies and techniques which will then be aggressively marketed to the law enforcement community for adoption. The increased funding in FY 1987 will expand networking efforts with the National Sheriffs' Association; distribution of the Uniform Traffic (Data) Report; and national distribution of a micro-computer management information system.

3. Emergency Medical Services	FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
	$ 269	$ 565	$ 508	$ 575

The EMS Program has shifted its emphasis over the past several years and will continue to do so to meet the changing needs in highway safety. The major program areas deal with: (1) trauma system development; (2) EMS training; (3) EMS management; (4) public information and education; and (5) MAST Program assistance.

It is evident that a renewed initiative in trauma system development must be undertaken if EMS is to be truly responsive to the highway safety need in this country. The long range goal in this area is to provide technical assistance to States and communities for establishing trauma centers and integrated prehospital EMS systems. Along these lines, we will continue to support the pediatric trauma instructor support system, which is a 3 year cooperative project with the Department of Health and Human Services.

Results from research on prehospital EMS skill utilization indicate that EMS system responses to life threatening and serious medical emergencies are seriously degraded because of a high rate of omission of needed basic and advance life support. In addition, EMS personnel, particularly volunteers, object to the increased demands on their time for what they sense is ineffectual continuing education and irrelevant refresher training. Therefore, future training in EMS will be directed at the development and evaluation of available training technology to produce more effective, economical, and locally available training, delivery, and maintenance for EMS. Also, another training project will be to develop an aeromedical instructor manual and training materials in order to assure minimum standards of care through aeromedical services.

In the program area of EMS management, NHTSA will support the newly established ASTM F-30 Committee on EMS in developing national voluntary standards and guidelines for EMS. We will also support this Committee in creating a directory of EMS information and data sources to improve dissemination of EMS data from the Federal, State, local, and professional levels.

There is a need to develop guidelines for uniform comparable State reporting of the number of highway related accident injury victims, categorized by severity, and the number of those victims who received appropriate prehospital EMS response. A project has been initiated to define a "EMS sensitivity index" to highway safety need. These guides will be pilot tested in several States to determine comparability of results and efficiency in State planning.

Development of this index will lead to better State and community based planning for highway safety. Specifically, it will permit comprehensive highway safety programs to more effectively evaluate needs in EMS relative to other highway safety countermeasures.

There is a continuing need for increased public information and education to modify the attitude and behavior of the American public regarding their self-exposure to the unnecessary risks of highway related accidents, injuries, and deaths. Particular emphasis along these lines is needed to reduce the incidence of driving while under the influence of alcohol and drugs and to increase the use of motor vehicle occupant protection. The EMS providers will become another key link in networking for injury prevention.

Over the past several years, NHTSA has provided leadership to the Military Assistance to Safety and Traffic (MAST) Program. This program uses the military's helicopters and personnel resources to transport civilian emergency patients. The program assists over 3,000 patients in 30 geographic locations, annually. We will provide particular support to evaluate local programs according to standard protocols, and to provide technical assistance to other local MAST Programs in each of four regions of the country. In addition, we will continue to co-sponsor the biannual MAST National Conference in order to maintain goal oriented conferences of the participants and to eliminate any financial burdens to co-sponsoring local MAST Programs who must use their own operating capital to purchase equipment, train personnel, and administrate local MAST activities.

In FY 1987, projects listed in the EMS program area will result in: (1) technical assistance on the establishment of trauma systems of care to representatives of the medical and governmental communities in nearly two-thirds of the country's EMS systems which do not currently have adequate systems; (2) training 30 additional prehospital instructors from across the country to provide State and local continuing education courses in pediatric emergency care management; (3) development of eight national voluntary EMS standards in the areas of personnel training, transportation, communications, administration, and facilities; (4) support of eight State and professional EMS demonstration projects in injury prevention; (5) reproduction of EMS public information and education materials from the 209 Project for use by State, regional, and community EMS programs; (6) implementation of EMS "sensitivity" indices to highway safety need in 16 States; (7) two State EMS cost-benefit demonstration studies; (8) development of a National EMS Clearinghouse System Plan; (9) development and evaluation of Department of Defense training technology for civilian applications;

and (10) improvement in the delivery of aeromedical emergency care through completion of aeromedical technician training materials and systems improvements at 32 MAST sites.

- The FY 1987 funding increase will support cost-benefit demonstrations for the development of guidelines to improve EMS; distribution of EMS materials; and development of an EMS National Clearinghouse System Plan support for MAST.

FISCAL
YEAR
1987

PROGRAM: HIGHWAY SAFETY PROGRAMS

TITLE: IMPROVEMENT OF STATE PROGRAM MANAGEMENT CAPABILITY

MAJOR PROGRAM OBJECTIVES

This key area is concerned with improving State and local highway safety program management capabilities, by accomplishing the following objectives: (1) modernizing the National Driver Register, to enable State driver licensing agencies to identify drivers under suspension/revocation far more rapidly than now; (2) improving the quality and utility of various NHTSA management information systems; (3) upgrading State traffic records systems by evaluating traffic records programs and by transferring new technology to the States; (4) providing project management training for appropriate State and local personnel; and (5) encouraging comprehensive and coordinated community highway safety programs.

PROBLEMS AND GOALS

General

Because State and local highway safety agencies are frequently caught between two opposing forces, the improvement of program management capabilities has risen sharply in importance. On one side, such agencies have responsibility to continually improve their programs, which typically involve growing numbers of drivers and vehicles, as well as increasing amounts of related data and other information. On the other side, the resources available for this purpose continue to shrink. The five program objectives listed above all aim to deal with this paradoxical problem of "doing more with less" in the area of highway safety program management.

National Driver Register

Since its inception in 1960, the National Driver Register has relied principally on the U. S. Mail to exchange data between the National Driver Register and State driver licensing officials. Consequently, identification of a suspended/revoked driver may take 10 or more days. The States, for the most part, have progressed technologically to the point that a license is issued "over the counter" while the applicant is present. Thus, information from the National Driver Register is received after the fact. The goal of the National Driver Register is to provide rapid responses to States' National Driver Register checks, commensurate with their need for timely and accurate information on which to base licensing decisions.

Management Information Systems

Management information is vital to informed and intelligent program formulation, execution and decision making. The need is to upgrade our ability to gather, analyze, and retrieve information on such programs--thus increasing both its availability and utility. An effective information system to meet this need is essential to assist State and community program personnel, as well as NHTSA managers and technical staff, in managing the six priority traffic safety programs. The program areas include Alcohol Countermeasures, Occupant Protection, Pedestrian, Motorcycle, Emergency Medical Services, and Police Traffic Services. TSP needs timely delivery of relevant data in each of these program areas to permit effective management. Because a "manual" information system for each of these areas would be impractical, labor-intensive and inefficient, the goal for 1987 is to continue the implementation of an integrated computerized information system, initiated in FY 1986.

The capability of people on the State and local levels of government to administer programs is directly related to the amount of information available. They need timely technical information about how to conduct and evaluate programs. Some progress has been made in the past few years in establishing information systems with respect to State and local alcohol, occupant protection and traffic records programs. The increased number of these programs across the country can be attributed to increased citizen support and information availability. Improvements in TSP's management information system will provide a considerable increase in the amount and quality of data and information which can be made available to the State and local jurisdictions.

Traffic Records

Traffic records play a key role in the traffic safety program because they are the source of historical and operational data that is so necessary to develop, implement and evaluate countermeasures. Traffic records also form the information base for State and local governments to manage their highway safety programs. Despite improvements in certain phases of traffic records operations, problems remain which prevent optimum use of traffic records at the State and local levels. State and local data are not uniform and many inaccuracies exist due to limited training of personnel and incomplete data. The lack of a comprehensive (integrated data base) system often makes it impossible to correlate significant data such as driving histories for alcohol involved drivers and safety belt/child restraint usage.

We will provide a workbook and workshops for other States wishing to move to a comprehensive type records system, based on the model State traffic records systems in Alabama. The transfer of this technology will be a key step in fulfilling the objectives of "Comprehensive Computerized Safety Record Keeping System" (PL98-363). In addition, an increased effort will be expended to standardize the common data elements in the State Accident and Driver files which, when completed, will permit States to transfer common data elements and information. The revision of the Police Accident Report Form and update of Data Element Dictionary (D-20) will assist in data uniformity. When all these tools are used in a coordinated fashion, we will see considerable improvement in the management, planning, and evaluation of State and local programs.

Management Training

In the project management area, there is a need to train State and local highway safety project managers in the various skills necessary to effectively manage those projects under their direct responsibility. Because of constant turnover and inexperience of many project managers, such training is needed on a continuing basis.

Comprehensive Community Programs

Since traffic accidents are frequently the result of multiple causes, there is a need to look at these causes and, at the same time identify and implement various countermeasures to address them in a comprehensive way. This comprehensive, coordinated approach needs to be addressed at the community level, to study the combined effect of various countermeasures, and to determine the level and techniques for effectively managing and sustaining such a comprehensive effort. It is expected that with the implementation of comprehensive community programs, eventual long term programs will be in place, with the key ingredient of self sufficiency firmly in place.

BENEFITS

National Driver Register

The principal benefits will be the rapid receipt of information by State officials for immediate licensing decisions. Operations of the NDR will also be more efficient without the encumbrance of maintaining the detailed adverse action data on the NDR master file, which will be retained by the "States of record." This will result in more accurate and current data being provided to the "States of inquiry" in a much more rapid mode. For those States issuing over-the-counter licenses, costly license-recovery procedures, resulting from late-arriving NDR information, will also be avoided.

Management Information System

The expanding Management Information System (MIS) will serve as a clearinghouse of information and data, and will enhance the delivery of technology for State and local governments. It will also provide timely and accurate information on programs activities, costs, status and accomplishments. This can only help to provide fast, accurate, and complete information for improved management decision making. A greater amount of data can be handled by a smaller number of staff, thereby leading to reduced operating costs. Data entry will be reduced because it will be handled only once.

In addition, other savings will also be possible due to work and paper simplification.

Traffic Records

The integration of traffic records systems will enable States to process traffic safety data more rapidly; provide more information to more people; and reduce costs of file maintenance and updating actions for each file in the system. With more and better data, the States will be in a better position to perform the necessary problem identification and evaluation of the priority program areas. The improved systems are designed to increase States' capabilities in traffic safety decisionmaking, i.e., to identify problems, formulate plans and programs, and measure results efficiently and comprehensively. The improved systems also support basic traffic safety operations, such as the detection of problem drivers, suspended licenses, and unregistered vehicles. The workshops, and publications will provide a sharing of technology to improve data and records systems. The end result should be more effective programs.

Management Training

Regularly offered training courses in project management have helped to ensure that all projects supported with 402 funds are effectively and efficiently managed regardless of personnel turnover on the State level. Personnel should be equipped with the latest management tools and techniques.

Comprehensive Community Programs

A major benefit of the Comprehensive Community Program project will be the development and demonstration of various management and coordination techniques to effectively plan and implement a comprehensive community program. At the same time, more effective and efficient programs should be in place, largely self sufficient. Through these efforts we will have developed several models for successful programs and transferred this technology to other localities.

ACCOMPLISHMENTS

National Driver Register

Implementation of the Problem Driver Pointer System has begun. During FY 1983, contractor assistance in preparing a system design was procured. The design was completed in FY 1985. Solicitation of the four States for the Pilot Program to test the new system was initiated during FY 1985 with selection scheduled for early in 1986. During FY 1985, the NDR added four more States into the remote job entry system, providing them with 24-hour-turnaround responses to inquiries, bringing to ten the number of States using this overnight processing procedure. Also during FY 1986, a test of the Rapid Response System will be completed, providing a capability for State Branch Licensing offices to get near-instantaneous information from the NDR files. This "rapid response" technology will be offered to all States beginning in mid-1986.

Management Information System

By the end of FY 1986, we will have defined, pilot tested and started the Program Area Management Information System in the key emphasis areas of Alcohol Countermeasures, Occupant Restraint, Pedestrian, Police Traffic Services, Emergency Medical Services, and Motorcycle.

Traffic Records

Documentation of the Model Traffic Records System (MTRS) project in the State of Alabama was funded in FY 1985. In 1987, this documentation of the MTRS will be disseminated in workshops. We will also offer technical assistance to States to assist them.

Management Training

Management training courses have been conducted at the Transportation Safety Institute in Oklahoma City. Two or three classes were held in each of the previous fiscal years. About 25 State personnel were trained per class in skills needed for their highway safety management responsibilities.

Comprehensive Community Programs

As a result of an in-house Long Range Strategic Planning Project, the nature, scope and procedures for comprehensive community planning were defined and agreed to. This project resulted in guidelines for comprehensive community projects which will be implemented in FY 1986. In FY 1987, results from the actual application of the guidelines should be available for transfer to other communities.

RESOURCE REQUIREMENTS ($000)

FY 1985 Appropriated	$2,196
FY 1986 Enacted	$2,006
FY 1986 After Sequestering	$1,817
FY 1987 Request	$1,895

PLANNED UNDER FY 1986 APPROPRIATION AND FY 1987 REQUEST

1. National Driver Register (NDR)

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
$2,058	$1,796	$1,617	$1,751

The National Driver Register (NDR) is in transition from the present U.S.-Mail-oriented batch system to an on-line, "pointer" switching system where all substantive data on suspended and revoked drivers, as well as those convicted of certain serious violations (e.g., DWI), would be maintained in and retrieved from the individual State driver files. The result of this new system is that the response of the NDR would be immediate (5-7 seconds) and as current as the information residing in the individual State files. The bulk of the pilot program activity is planned to occur in Fiscal Years 1986 and 1987. This period requires relatively high levels of funding to reimburse the four pilot test program. In Fiscal Year 1988, activity will focus on an evaluation of the results of the pilot test, and the submission of a report to Congress. Extension of the new system to other States will be contingent on proven technical and economic feasibility of the system and subsequent authorization to expend funds for its implementation on a national scale.

2. Management Information Systems

$128	$100	$100	$95

Management Information Systems (MIS) operated by NHTSA will benefit by several significant improvements aimed to facilitate the transfer of innovative ideas, information, and technology to individuals and organizations operating at the State level.

The plan for FY 1987 includes maintaining and improving quality MIS's for Alcohol Countermeasures, Occupant Restraint, Police Traffic Services, Emergency Medical Services, Pedestrian, and Motorcycle program areas.

3. State Traffic Records

$10	$25	$25	$10

Planned activities in FY 1987 are devoted to providing technical assistance and disseminating state-of-the-art technology on traffic records. Information from the Model Traffic Records project and from other notable traffic records systems will be organized into training workshops for State and Regional personnel. An up-to-date edition of the State Police Accident Report Form Catalog will be compiled, printed and distributed.

4. Project Management Training

FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
$0	$10	$10	$10

Three management training courses will be conducted in FY 1986. Because of the rapid turnover and inexperience of many highway safety project managers, training in basic management principles and techniques fosters effective project management for new people on the State level. The course addresses all phases of project management, consisting of: development, monitoring, control, and evaluation. As part of the course curriculum, emphasis is placed on the management of alcohol and occupant protection and comprehensive traffic safety programs.

5. Comprehensive Community Programs

$0	$75	$65	$29

An urban area will be selected with a large enough population and accident base to demonstrate the effect of a comprehensive and coordinated highway safety program. Depending on the accident problems identified, all appropriate components of a comprehensive program will be implemented, including alcohol countermeasures, occupant protection programs, improved emergency medical services, and motorcycle and pedestrian countermeasures. To provide necessary management and support, the traffic records or data systems will be strengthened where needed, a Public Information and Education program will be implemented, and a central management and coordination function will be established. The results of this effort will be transferred to State and local agencies with appropriate benefits described.

RESEARCH AND ANALYSIS
(Dollars in Thousands)

	FY 1985	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request	Increase (+) or Decrease (-)
Positions:					
Operations and Research (GF)	100	99	99	99	..
Trust Fund Share (TFS)	41	42	42	42	...
Total Requirements	141	141	141	141	...
Dollars:					
Salaries and Expenses					
Operations and Research (GF)	4,816	4,934	4,815	4,947	+132
Trust Fund Share (TFS)	1,926	1,959	1,920	1,964	+44
Subtotal	$6,742	$ 6,893	$6,735	$ 6,911	+$176
Operating Expenses:					
Operations and Research (GF)	1,889	1,831	1,659	1,971	+312
Trust Fund Share (TFS)	912	887	804	951	+147
Subtotal	$2,801	$ 2,718	$2,463	$ 2,922	+$459
Contract Programs:					
Operations and Research (GF)	21,789	18,817	18,008	18,817	+809
Trust Fund Share (TFS)	7,600	19,833 1/	19,195 1/	9,975	-9,220
Subtotal	$29,389	$38,650	$37,203	$28,792	-$8,411
Total, Research and Analysis	$38,932	$48,261	$46,401	$38,625	-$7,776
Operations and Research (GF)	28,494	25,582	24,482	25,735	+1,253
Trust Fund Share (TFS)	10,438	22,679	21,919	12,890	-9,029

1/ Includes $5 million transfer from UMTA R&D.

FUNCTION:

Research and Analysis operates under the mandates of the National Traffic and Motor Vehicle Safety Act of 1966, the Highway Safety Act of 1966, and the Motor Vehicle and Cost Savings Act of 1975. The mission of the Research and Analysis activity is to conduct research which will support and improve the safety of motor vehicle transportation through State and community highway safety programs, motor vehicle standards, public information, and voluntary programs with industry.

Research conducted supports NHTSA's mission by identifying safety problems; developing alternative solutions and assessing their cost, benefits and effectiveness. Accident data is collected, automated and analyzed to support the development of effective motor vehicle safety standards and traffic safety programs. The collection and analysis of these data is uniquely required by the mission of NHTSA and is not within the scope or interest of the industry or the private sector. During the last three years, one of NHTSA's highest priorities was to ensure that the findings of NHTSA's research and analysis activities were widely disseminated within the entire highway safety community.

The Research and Analysis Contract Program for FY 1987 will: continue the National Accident Sampling System and improve the analysis of motor vehicle accident data collection; initiate efforts to identify the nature and magnitude of the drug/highway safety problem; develop and evaluate new techniques for public use in determining an individual's degree of driving impairment due to drinking; support the hardware development efforts of the frontal and side impact protection projects; and to acquire, format, and analyze crash data to identify causative factors leading up to specific types of single vehicle accidents.

Analysis of Resource Distribution
(Continued)

	Organizational Element [illegible]	[illegible]	[illegible]		Assignment to Program Area [illegible]		[illegible]	
	[illegible]	[illegible]	FY 1986	FY 1987	FY 1986	FY 1987	FY 1986	FY 1987
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Office of [illegible]	[illegible]	[illegible]	[illegible]	[illegible]				
Office of [illegible]	[illegible]	[illegible]	[illegible]	[illegible]				
Office of [illegible]	[illegible]	[illegible]			[illegible]	[illegible]		
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]				
[illegible]	[illegible]	[illegible]					[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

Justification for Permanent Positions

Provision is made in each sub activity for a distributive share of the Associate Administrator's staff and for mission support function positions justified under the General Administration budget activity but shown here because of their key role in achieving various major program objectives.

MOTOR VEHICLE RESEARCH

The Motor Vehicle Research activity which includes the Offices of Crashworthiness, Crash Avoidance and the Vehicle Research and Test Center are responsible for the following functions:

- Plans and conducts research to develop the technology associated with the crash environment and countermeasures to reduce human injury. Develops fundamental understandings, advanced approaches to problem solutions, and evaluation methodologies associated with this technology.
- Develops analytical techniques, computer programs and models for predicting the crash environment; assesses safety performance of motor vehicles and evaluates countermeasures.
- Formulates and conducts or directs research programs to support the development or refinement of motor vehicle data bases for structural crash energy management, and for the development of accident avoidance countermeasures.
- Plans, directs, and conducts research and development programs necessary for the development, demonstration and evaluation of occupant packaging and protection systems that control crash-related forces and motions within human tolerance limits.
- Formulates and conducts research programs to demonstrate the technical feasibility of integrating the advanced state-of-the-art in automotive systems into motor vehicles which will provide improved performance, crashworthiness and crash avoidance.
- Develops advanced measurement methods, techniques, approaches and hardware systems required to conduct research projects in the areas of driver/vehicle interaction and driver and passenger performance.
- Utilizes analytical techniques to perform truck safety problem identification/analyses and assesses alternative safety countermeasures.
- Conducts research and development programs and projects of a continuing pattern to improve existing, data bases in the field of tire systems, occupant restraint systems, braking

- Conducts special programs and projects to span gaps in fundamental knowledge regarding performance criteria and measurement.

- Conducts engineering investigation and tests to identify or confirm the existence of safety-related defects which are conditions or potential conditions that may adversely affect vehicle safety.

- Conducts environmental, load, track, and materials testing required to determine motor vehicle or equipment defects, and to determine compliance with safety performance standards.

- Certifies and develops presentation of test data based on testing, data reduction and analysis, (and collaborates with headquarters elements in interpretations, as needed).

	FY 1986 After Sequestering	FY 1987 Request	Increase (+) or Decrease (-)
Positions			
Associate Administrator	4	4	...
Office of Crashworthiness Research	23	23	...
Office of Crash Avoidance Research	16	16	...
Vehicle Research and Test Center	27	27	...
Mission Support	2	2	...
Total	72	72	
Federal Funds	(72)	(72)	...

HIGHWAY SAFETY RESEARCH

- Plans, directs, conducts and participates in the conduct of research which identifies factors which influence belt system usage and changes in behavior or attitudes towards restraints.

- Plans, directs, conducts and participates in the conduct of research programs aimed at (1) identifying, isolating, and specifying problem behaviors and attitudes related to road users, and accident-generating situations, and (2) determining the incidence of specific agents (e.g., alcohol and drugs), behaviors, or attitudes and their effect on traffic safety.

- Plans, directs, conducts and participates in the development, testing, and evaluation of traffic safety countermeasures aimed at resolving problems identified through the research program.

- Develops scientific and technical measurement methodology, research approaches and techniques required to conduct RDT&E projects in road user behavior and highway and traffic safety countermeasures.

- Provides consultative services and contract technical management for other elements of NHTSA and through interagency agreement, to other government agencies, in projects involving mission-related areas.
- Establishes and maintains liaison with scientific, technical, professional, other government agencies, and the private sector involved in related RDT&E activities to assure coordination of effort.

Positions	FY 1986 After Sequestering	FY 1987 Request	Increase (+) or Decrease (-)
Associate Administrator	2	2	...
Highway Safety Research	18	18	...
Mission Support Positions	1	1	...
Total	21	21	
Highway Trust Fund	(21)	(21)	...

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

The National Center for Statistics and Analysis (NCSA) conducts the following activities:

- Development and operation of a national program to collect, store, retrieve, disseminate, and analyze information on highway and motor vehicle safety; and specifically on the characteristics of crashes and injuries that result from crashes.
- Detailed mathematical and statistical analyses and clinical studies of accident-caused trauma; of driver and vehicle performance before, during, and after a crash to assess the causes of accidents and injuries, and the effectiveness of safety countermeasures.
- Analyses to establish measurment and evaluation criteria, causal relationships, trends, and other information to determine the effectiveness of the agency's safety programs.
- Design and development of new and improved techniques for field investigation of motor vehicle crashes to determine the reasons for and causes of accidents.
- Developmment and analysis of motor vehicle exposure data to assist in the assessment of the effectiveness of traffic safety programs.

The National Center for Statistics and Analysis is responsible for developing and operating a comprehensive national accident data colletion and analysis program to support motor vehicle and highway safety actions. Through its program, NCSA provides the foundation necessary for sound safety decisions in establishing effective and relevant motor vehicle and highway safety programs, and standards. Information is collected and analyzed to support the safety programs of NHTSA, its motor vehicle regulatory and defect programs, and its highway safety grant programs. In addition, NCSA has established itself as a leader in accident data collection and analysis and serves all members of the highway safety community including State and local governments, other Federal agencies, industry and non-government entities, and private citizens.

Positions	FY 1986 After Sequestering	FY 1987 Request	Increase (+) or Decrease (-)
Associate Administrator	1	1	...
National Center for Statistics and Analysis	46	46	...
Mission Support	1	1	...
Total	48	48	...
Federal Funds	(27)	(27)	...
Highway Trust Funds	(21)	(21)	...
Total	48	48	...

RESEARCH AND ANALYSIS
RESOURCE SUMMARY
CONTRACT PROGRAM
(DOLLARS IN THOUSANDS)

Motor Vehicle Research	FY 1985	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987
Crashworthiness Research	$ 6,750	$ 7,982	$ 7,651	$ 7,982
Crash Avoidance Research	1,640	2,450	2,340	2,450
Heavy Duty Research	440	350	350	350
Air Bag Research	4,250	-0-	-0-	-0-
Subtotal: (Federal Funds)	$13,080	$10,782	$10,341	$10,782
Highway Safety Research				
Occupant Protection	1,240	1,077	1,077	1,250
Alcohol, Drugs and Driving	760	1,630	1,534	1,599
Subtotal: (Trust Funds)	2,000	2,707	2,611	2,849
Trauma Center (Trust Funds)	...	10,000 1/	9,785	-0-
National Center for Statistics and Analysis				
Fatal Accident Reporting System	3,267	3,300	3,300	3,300
National Accident Sampling System	9,434	9,561	9,210	9,561
Accident Data Analysis	1,358	2,000	1,656	2,000
Special Interest Accident Investigation	250	300	300	300
Subtotal	$14,309	$15,161	$14,466	$15,161
(Federal Funds)	(8,709)	(8,035)	(7,667)	(8,035)
(Trust Funds)	(5,600)	(7,126)	(6,799)	(7,126)
Grand Total	$29,389	$38,650	$37,203	$28,792
Summary:				
Federal Funds	(21,789)	(18,817)	(18,008)	(18,817)
Trust Funds	(7,600)	(19,833)	(19,195)	(9,975)
	$29,389	$38,650	$37,203	$28,792

1/ Within this amount, $5.0 million will be transferred from UMTA'S R&D account (unobligated balances) to this account.

FISCAL
YEAR
1987

PROGRAM: VEHICLE RESEARCH

MAJOR PROGRAM OBJECTIVES

To provide a technical data base on the state of motor vehicle safety concepts, designs, assessment criteria, and methodology that will support the formulation of policies and the development of technology required to control or reduce the number of fatalities and injuries caused by vehicle accidents.

PROBLEMS AND GOALS

The demand of the marketplace has resulted in the production of smaller and lighter weight vehicles. This makes the problem of occupant protection more difficult. Truck and bus safety is also a matter of increasing concern as the proportion of accidents and fatalities involving these vehicles remains high. Motorcycle and pedestrian injuries and fatalities continue to be a serious problem. On an annual basis, 1 out of 10 U.S. citizens will be involved in an automobile, light truck, or truck/bus police reported accident. Over 44,000 will be killed, and over 3,500,000 will be injured, many permanently. The survivors will spend approximately 2,000,000 days in hospitals and will miss over 10,000,000 days of work. The cost to society was estimated to be over $69 billion.

To support the overall NHTSA goals of reducing the deaths, injuries, and economic losses resulting from vehicle crashes this research will:

1. Develop and apply advanced analytical methods for the assessment of vehicle safety performance and the identification of safety problems.

2. Acquire and analyze biomechanical data for adults and children to develop improved injury criteria and advanced anthropomorphic test devices for safety systems evaluations.

3. Develop test procedures and test devices for assessing the crashworthiness and crash avoidance performance of passenger cars, light trucks, vans, motorcycles, and heavy trucks.

4. Develop engineering analysis techniques to utilize experimental, analytical, and accident data to determine vehicle safety performance as a function of vehicle design.

5. Develop data on the effectiveness of advanced technology for crash avoidance (including driver controls and operation) and for crash injury mitigation.

6. Identify and evaluate countermeasures for reducing harm to restrained and unrestrained vehicle occupants and pedestrians.

BENEFITS

Results of this research will be used to demonstrate improved safety performance and to determine the cost to the consumer for such improved performance.

ACCOMPLISHMENTS

-- Initiated installation of all-mechanical air bag kits in vehicle fleets.

-- Using advanced simulations, investigated parameters affecting air bag performance to reduce air bag development costs.

-- Initiated the hardware development and evaluation of mitigation concepts for belt restrained and unrestrained drivers and passengers in frontal crashes.

-- Supported agency requirements for a safety standard to improve side impact protection.

-- Continued computer analysis and simulation of occupant motion during rollover crashes to reduce test costs.

-- Initiated component development of an advanced anthropomorphic test device. These components (head, neck, spine, and thorax) will meet the mechanical response characteristics necessary to permit the development and test of improved safety systems.

-- Completed a study which documents the injury mitigating effects to pedestrians when bumpers of contemporary styled vehicles are modified from their current essentially rigid form to a more compliant one.

-- Continued the study and evaluation of mechanisms of injury to the head, neck, thorax, and abdomen of unrestrained drivers and front seat passengers involved in frontal impacts.

-- Completed the development and installation of rotational acceleration calibration equipment at the National Bureau of Standards. Completed evaluation of rotational acceleration instrumentation in a dummy head.

-- Developed a methodology that allows introduction of the assessment of various forms of human functional impairment into the process that establishes agency priorities, potential regulatory benefits, and evaluation of current regulations.

-- Developed the analytical basis for estimating safety benefits from improvements in steering assembly design.

-- Crash tested vehicles to identify the effects of different vehicle structural characteristics on injury mitigation in frontal impacts.

-- Investigated alternatives for improved pillar and roof rail protection and ejection mitigation.

-- Completed data collection efforts to better characterize the geometry and material properties of instrument panels, pillars/roof rails, and windshields for use in developing mitigation concepts.

-- Participated in technical conferences by presenting material on state-of-the-art information pertaining to agency frontal and side crashworthiness research.

-- Provided extensive technical support to the Department of Justice in their prosecution of the X-Body brake defect case.

-- Initiated research to establish the performance specifications of daytime running lights in the United States.

-- Initiated a major new development and evaluation program to assess the cost effectiveness of using a radar warning system as a means of upgrading driver performance.

-- Completed a 2-year field study to assess the cost effectiveness of improved rear-view mirror systems in reducing certain classes of accidents.

-- Completed a 2-year field study assessing the effectiveness of retroreflective markings as one means of reducing the frequency and severity of vehicle crashes into large trucks and trailers.

-- Completed an evaluation of heavy truck automatic air brake adjustment systems including both their performance and durability qualities.

-- Completed full-scale vehicle tests evaluating the spray suppressing performance of various add-on devices for heavy trucks.

-- Established a computerized data base characterizing the truck, tractor, trailer, and truck body manufacturing segments of the heavy truck industry.

RESOURCE REQUIREMENTS ($000)		
	FY 1985 Appropriated	$13,080
	FY 1986 Enacted	$10,782
	FY 1986 After Sequestering	$10,341
	FY 1987 Request	$10,782

PLANNED FOR FY 1986 AND FY 1987 REQUEST

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
1. Crashworthiness Research	$6,750	$7,982	$7,651	$7,982

Conduct research to respond to comments on the thoracic side impact rulemaking support program which was completed in 1985. This may require additional production car tests and comparison of full-scale testing to component level testing.

Continue the research phase of the comprehensive side protection project. Emphasis is on the design and development of mitigation hardware, test procedures, test devices, and performance criteria for improving protection of the head, abdomen, and pelvis of occupants in side crashes.

Monitor the performance of the driver-side air bags in fleet test vehicles.

Continue the experimental research efforts to design and develop mitigation hardware, test procedures, test devices, and performance criteria for improved driver and passenger protection in frontal crashes. Emphasis will be on improvements to the steering assembly, windshield and instrument panel.

Support prior year research efforts in trauma research, biomechanical analysis, and surrogate development and improvement.

Continue the development and application of data bases and analytical techniques in the evaluation of injury mitigation concepts.

The FY 1987 program will continue research and development activities already planned or underway from the prior year. Emphasis continues to be on the development of performance criteria, testing approaches, and mitigation concepts that are relatively easy to implement, yet are reliable indicators of safety performance.

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
2. Crash Avoidance Research	$1,640	$2,450	$2,340	$2,450

Finalize prior year's research to assess the potential of daytime running lights for reducing head-on and angular collisions in the U.S. driving environment and to develop engineering specifications for cost-effective systems.

Conduct performance tests and evaluations of an advanced Radar Crash Warning System being developed jointly by NHTSA and NASA-Houston.

Support efforts to develop performance-based vehicle lighting standards to reduce design restrictions while at the same time maximizing driver seeing distance and minimizing glare for oncoming drivers.

Develop a research project to determine the influence of vehicle and driver characteristics on accident causation. The project will employ the large scale Crash Avoidance Research Data Base being developed at NHTSA, together with driver simulator and human factors research.

Support prior year research efforts to develop and demonstrate improved vehicle rear-lighting, marking and signaling systems to reduce the high incidence of rear-end collisions.

The FY 1987 program will continue research and development activities already planned or underway from the prior fiscal year. In addition, a plan will be developed for the expansion of improved data bases to identify crash situations that may be eliminated or ameliorated through the application of improved active safety systems.

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
3. Heavy Duty Vehicle Research	$440	$350	$350	$350

Evaluate the state-of-the-art performance of advanced brake systems including available (European) anti-lock systems. Investigate the performance gains and problems (if any) associated with incorporating European brake systems into U.S. vehicles.

Initiate the development of a reliable method of predicting the rollover threshold of heavy trucks and finalize guidelines to increase these thresholds.

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
4. Air Bag Research	$4,250	-0-	-0-	-0-

FY 1985 completed the purchase of a driver only production air bag system for 5,000 General Services Administration 1985 model year compact cars.

FISCAL
YEAR
1987

PROGRAM: HIGHWAY SAFETY RESEARCH

MAJOR PROGRAM OBJECTIVES

To reduce the frequency and severity of crashes and their consequences by 1) developing a better understanding of driver, pedestrian, and other "road user" behavior in relation to accident causation; 2) imparting and maintaining the skills and knowledge necessary to operate all vehicles safely and efficiently; and 3) identifying and dealing with significant safety problem areas—such as alcohol and occupant protection—by developing effective accident countermeasures for use by States and localities.

PROBLEMS AND GOALS

Human error is the main causal factor in motor vehicle crashes. Alcohol is involved in about half of all fatal traffic crashes and is also a significant factor in less severe accidents. Moreover, only a minority of vehicle occupants elect to use readily available safety belts to protect themselves against death and injury.

The highway safety research program is designed to develop and test new approaches and procedures for changing road user behavior. Efforts will address those areas which appear to have the greatest potential to improve highway safety and which can be most easily and effectively implemented. Resources for FY 1987 have been allocated to emphasize occupant protection and alcohol/drug countermeasures. The information, technical development, and products resulting from this research are provided to the States, localities and other interested groups for use in their highway safety programs.

BENEFITS

The research will provide cost-effective approaches, methods, and techniques that States and localities can use to improve their highway safety programs.

ACCOMPLISHMENTS

- Field tested selected general deterrence enforcement and related public information programs to deter drunk driving; pilot tested programs to encourage intervention by bartenders and other alcohol beverage servers to prevent DWI trips; pretested a set of alcohol/highway safety survey items addressing attitudes, knowledge and behavior for use in measuring effectiveness of anti-DWI programs; tested the accuracy of a sample of "Know-Your-Limits" cards for predicting blood alcohol concentration (BAC) levels; completed laboratory tests of two prototype, in-vehicle breath test ignition-interlock devices designed to prevent alcohol-impaired driving by repeat DWI offenders; completed (in cooperation with the National Institute on Drug Abuse) a pilot-study laboratory evaluation of a behavioral rating procedure developed by the Los Angeles Police Department for use in detecting drug-impaired drivers; completed development of a traffic safety program (Walking In Traffic Safely) aimed at reducing preschool child pedestrian accidents (materials being considered for use in Head Start program); completed a study demonstrating that nighttime visibility of pedestrians and bicyclists is significantly enhanced through use of materials (retroreflective clothing) and/or devices (flashlights, leg lamps) currently available in the marketplace.

- Surveyed safety belt, child safety seat and motorcycle helmet use in 19 cities across the country; identified strategies that appear to have the highest potential to increase compliance with child safety seat use laws; documented perceptions, knowledge and attitudes affecting the use of restraint systems; evaluated enforcement strategies for mandatory safety belt use laws; provided assistance to States in the design of safety belt and child safety seat use surveys; studied the effects of mandatory use laws on motor vehicle accident trauma; and conducted a field test of an employer cost documentation system for motor vehicle crashes.

RESOURCE REQUIREMENTS ($000)		
	FY 1985 Appropriated	[illegible]
	FY 1986 Enacted	[illegible]
	FY 1986 After Sequestering	[illegible]
	FY 1987 Request	[illegible]

PLANNED UNDER FY 1986 APPROPRIATED AND FY 1987 REQUEST

The FY 1987 contract program is essentially level funded. The modest increase in occupant protection will be used to study user reaction to automatic occupant protection systems (e.g., comfort, convenience), and the relationship to the selection, maintenance, and use/nonuse of such systems.

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
1. Occupant Protection	[illegible]	[illegible]	[illegible]	[illegible]

To meet the needs of local, State, and national agencies and organizations in their occupant protection programs, emphasis in FY 1987 will be placed on the development and assessment of approaches and strategies to increase compliance with State safety belt use laws. Specific areas and topics to be addressed include:

- Study enforcement strategies for mandatory use laws; analyze legal related outcomes associated with the different State use laws.

- Determine characteristics and attitudes of nonuser groups in States with mandatory use laws and develop potential approaches for increasing compliance through PI&E and associated enforcement.

- Examine relationship between MUL implementation program activities (e.g., officer training, public information and education, operational and media coverage, public perception) and safety belt use.

- Determine effect of mandatory use law on motor vehicle crash trends; study possible overrepresentation of high accident risk drivers among restraint system nonusers and the implications for potential trauma reduction benefits associated with various levels of use; develop systems for determining rates for various subgroups (e.g., States with and without use laws, automatic vs. manual systems).

- Develop methods and techniques and provide technical assistance to States and localities in designing, collecting, and analyzing restraint use and trauma reduction data to evaluate programs and the effects of these programs.

[illegible]

[illegible]

	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

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[illegible]

[illegible]

- Determine the effect of Dram Shop legislation on alcohol server practices.

- Develop a police officer training program for a set of drugged driver detection procedures.

The FY 1987 program directly supports the efforts of State and local highway safety agencies to detect and deter drunk driving. The program continues to be responsive to the need for a wide range of public and private actions and strategies that will be effective in changing the public's drinking and driving habits. An effort will be continued to assess the magnitude of the problem of drug-impaired driving in the United States.

In FY 1987, research will be undertaken in the following areas:

- Develop and test programs to encourage and support private action designed to prevent drunk driving.

- Develop public education programs that will foster safety-conscious attitudes regarding drinking and driving, and that focus on specific groups (e.g., youth) and other factors such as drinking situations that commonly lead to drunk driving.

- Test specific legal and administrative improvements to detect and deter drunk driving.

- Continue development and testing of techniques by which individuals can determine the degree of impairment before they drive.

- Identify the nature and magnitude of the drug/highway safety problem in the United States.

FISCAL
YEAR
1987

PROGRAM: TRAUMA CENTER

MAJOR PROGRAM OBJECTIVES

To conduct research and development programs that will help in the development of an understanding and control of injury.

PROBLEMS AND GOALS

Motor vehicle crashes are the leading cause of severe injury and death. They account for approximately 30 percent of total injury deaths each year.

The FY 1986 Program includes $9.8 million of which $5.0 million is provided by transfer from another DOT Administration to provide for the establishment of a Center for Injury Control (CIC) within the Centers for Disease Control to administer the planning, solicitation, funding, and evaluation of coordinated research and development directed at the understanding of injury.

RESOURCE REQUIREMENTS ($000)

FY 1985 Appropriated	0
FY 1986 Enacted	$10,000
FY 1986 After Sequestering	$9,785
FY 1987 Request	0

PLANNED FOR FY 1986 AND FY 1987 REQUEST

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
Trauma Center	-0-	$10,000	$9,785	-0-

The FY 1986 amount after sequestering provides $9.8 million in funding to initiate a 3-year pilot project to implement the recommendations contained in the National Academy of Sciences Report, "Injury in America." The funds are for the establishment of a Center for Injury Control (CIC) within the Centers for Disease Control. The CIC will administer the planning, solicitation, funding, and evaluation of coordinated research and development aimed at the understanding and control of injury. NHTSA's function is to oversee the establishment of the operation and to be a pass-through for the available funds.

Fiscal Year 1987

Program: NATIONAL CENTER FOR STATISTICS AND ANALYSIS
DATA COLLECTION AND ANALYSIS

MAJOR PROGRAM OBJECTIVES

The National Highway Traffic Safety Administration (NHTSA) depends on accurate and complete information on the traffic crash environment for; assessing the magnitude of the traffic safety problem, diagnosing specific problems in highway safety, and evaluating countermeasure programs and standards that have been put in effect. The National Center for Statistics and Analysis (NCSA) was created to fulfill this need. The information developed by NCSA is also used by other Federal agencies, State and local governments, other countries, the motor vehicle industry, private organizations, and citizens.

NCSA has developed three primary programs for providing information on traffic accidents. The Fatal Accident Reporting System (FARS) provides basic information on a census of accidents in which one or more people die of their injuries within 30 days of the accident. The National Accident Sampling System (NASS) provides information from full investigations of a statistical sample of police reported accidents at all levels of severity in the United States. Special Interest Accident Investigations provide detailed information on particular crashes of special interest to the agency such as those involving passenger cars equipped with air bags and school buses involved in serious crashes.

In addition to crash data collection, NCSA analyzes accident data in order to provide information and answers to particular questions such as: where and to what extent is alcohol involved in accidents, how are mandatory belt use laws affecting motor vehicle occupant fatalities, what effect have child restraint use laws had on injuries to the young child in accidents, what is the effect of raising the minimum drinking age to 21, and how are occupant injuries changing as the average size and weight of cars and light trucks on the road decreases? NCSA provides information from its data systems in the form of computer tapes; monthly, semi-annual and annual reports; research notes and papers; and responses to telephone and written inquiries.

PROBLEMS AND GOALS

Sound highway safety policy must be based on accurate, timely, detailed, and representative accident data and analyses. This requires developing and operating data collection systems and analyzing the data obtained. The data must be of sufficient quantity and quality, and consistently collected, reported, and analyzed.

The NCSA conducts detailed accident investigations to collect nationally representative motor vehicle accident data (NASS); develops and maintains a uniform data file on all fatal accidents in the nation (FARS); conducts special interest investigations, generally within hours of an accident's occurrence; and develops and maintains State accident data files. Analyses of these data, as well as other pertinent records and data bases, provide national estimates of occupant and pedestrian injuries, vehicle and collision types, and the relationship between crash severity and occupant injury. These analyses provide insights into the nature and magnitude of motor vehicle and highway safety problems and furnish information necessary to define and evaluate highway safety alternatives. Information and activities are shared and coordinated with the U.S. Congress, the Federal Highway Administration, the National Transportation Safety Board, and other government agencies, as appropriate.

To provide adequate information on traffic safety within budget limitations, NCSA is working to improve the productivity, efficiency, quality, and responsiveness of its data systems.

BENEFITS

NHTSA is emphasizing increased seat belt usage by motor vehicle occupants and the non-use of alcohol by drivers. The NCSA data collection and analysis program allows NHTSA to measure the success of these programs and identify where further gains are possible. Further, this data collection and analysis program allows NHTSA decision-makers to identify emerging safety problems, develop effective motor vehicle and highway safety countermeasures, and evaluate safety programs. Through NCSA's data collection and analysis program, NHTSA can: (1) understand the various factors that influence highway safety; (2) analyze costs and benefits of future NHTSA activities; (3) quantitatively identify the effectiveness of crashworthiness and crash avoidance motor vehicle design characteristics; (4) relate driver behavior and vehicle use phenomena to accident incidence; and (5) provide a clearer picture than previously possible of the magnitude and characteristics of highway accidents in the U.S.

ACCOMPLISHMENTS

-- Operated the Fatal Accident Reporting System (FARS) since 1975, producing a census of records on more than 500,000 fatalities in crashes. These data are collected from the 50 States, the District of Columbia, and Puerto Rico. They provide information on the demographics of the people involved, their injuries, the types of vehicles and roadways, alcohol involvement, restraint use, and license status. The information is used for the specification of the highway safety problem, as well as to assess the effectiveness of measures to improve safety. FARS provides an important measure of the level of highway safety in the U.S.

-- Operated the National Accident Sampling System (NASS) with 50 research investigation teams and 4 quality control Zone Centers. NASS has been operational since 1979, and now has a file of more than 43,000 complete cases both in hardcopy form for clinical analysis and on a computer file for statistical analysis. The NASS teams collect high quality, detailed accident data that include extensive scene and vehicle photo documentation, vehicle occupant contact points and medically diagnosed injuries.

- Completed a fifth comprehensive statistical report on motor vehicle accidents and injuries using NASS data, documenting injury causes, severities and consequences for the approximately 3.5 million injured victims.

- Used the FARS and NASS files to answer approximately 3,000 requests during the year for information related to highway safety (approximately 30% from industry, 30% from private citizens, 20% from Federal government, 10% from State and local government and 10% from research organizations and the media).

- Conducted special investigations in the Washington, D. C. area of crashes in which serious head and neck injuries occurred. The victims of these crashes are being studied to better understand the long-term medical and other consequences of such injuries. These investigations assist the NHTSA's biomechanics staff to bridge the gap between real world accident and laboratory tests, and provide information on the longer term economic, psychological and sociological impacts of the most serious types of traffic crash injuries and the disabilities that result.

- Supported the Federal Highway Administration's safety programs, by continuing the special studies of accidents involving longitudinal barriers and crash cushions and provided information on special highway characteristic variables in NASS and FARS. There are now about 800 such special study cases in the files for analysis.

- Continued the development and publication of "Fatality Trends," which graphically presents important fatality pattern changes observed by analyzing the FARS data.

- Redesigned the NASS statistical sample. This new design, implemented in July 1985, increases the number of high severity injury cases in the sample, simplifies the file structure, and improves the accuracy of national estimates.

- Completed studies of fatality reductions achieved in States that have raised their minimum drinking age and estimated the effects if all States raised their minimum drinking age to 21.

- Developed a statistical model to predict alcohol use in fatal accidents. This model overcomes the problem of incomplete police alcohol reporting and produces accurate data on alcohol involvement in fatal accidents.

- Evaluated the fatality and injury reductions resulting from State mandatory belt usage laws.

- Assisted the States in designing belt use surveys to measure usage changes following a mandatory belt use law.

-- Completed a study which evaluated the influence of car size on accident involvement. The study combined on-site exposure observations with accident data.

-- Completed the design of a coordinated accident and exposure data collection system. This system, which would operate as a part of the NASS, incorporates advanced sampling and quality control procedures. It will support detailed multivariate studies of accident causation.

-- Prepared monthly reports on current traffic fatality counts and detailed semi-annual studies of current traffic fatality patterns.

-- Prepared an extensive annual analysis of traffic fatalities, based on an extrapolation of available FARS data, to provide an accurate, early assessment of the year's traffic fatality experience.

-- Analyzed issues of current interest, using NASS and FARS data, including heavy truck fatalities, the influence of weather on traffic fatalities, light truck and van ejections, the relations between crash forces and injury, heavy truck accident fires, and the role of the elderly in traffic accidents.

-- Completed the development and implementation of a decentralized data entry system using microcomputers for the NASS and FARS sites. This system will significantly reduce the data processing costs of data collection.

-- Continued to provide information on alcohol in traffic accidents including: an overview of alcohol involvement in all traffic accidents nationwide; a comprehensive alcohol fact book which gives detailed information on alcohol in fatal accidents; several reports on alcohol involvement for young drivers; and an analysis of alcohol in pedestrian accidents.

-- Completed and published a study on what effect reenacting the motorcycle helmet law would have in the State of Louisiana.

-- Initiated a training program for NASS researchers at the Transportation Safety Institute in Oklahoma which includes classroom instruction, accident scenes, and crash-damaged vehicles for practical field training.

-- Developed a micro-computer version of the CRASH 3 program for estimating the crash severity and simulating vehicle trajectories which occur in real-world crashes.

RESOURCE REQUIREMENTS ($000)		
	FY 1985 Appropriated	$14,309
	FY 1986 Enacted	$15,161
	FY 1986 After Sequestering	$14,466
	FY 1987 Request	$15,161

PLANNED UNDER FY 1986 AND FY 1987 REQUEST

	FY 1985 APPROPRIATED	FY 1986 ENACTED	FY 1986 AFTER SEQUESTERING	FY 1987 REQUEST
1. Fatal Accident Reporting System (FARS)	$3,267	$3,300	$3,300	$3,300

-- Maintain and operate a system to collect information on drivers, vehicles, occupants, and accident scenes for approximately 40,000 fatal accidents, through contracts with the 50 states, the District of Columbia.

-- Monitor the quality and completeness of the data entered through automated procedures and analysis of the data.

-- Train both new and existing FARS analysts to improve their performance and familiarize them with new equipment and techniques for data entry.

-- Improve contracting procedures and monitoring to ensure better performance at lower cost.

-- Produce annual and special reports containing FARS data and analyses on special interest areas such as alcohol in fatal accidents, restraint use, and involvement of the elderly in fatal traffic accidents.

The FY'87 Request for FARS ($3,300K) will cover funding for contracts for data collection ($2,060K) and the budget needed for data processing support ($1,070K). The additional $170K is necessary for quality control programs, and training new analysts.

	FY 1985 APPROPRIATED	FY 1986 ENACTED	FY 1986 AFTER SEQUESTERING	FY 1987 REQUEST
2. National Accident Sampling System (NASS)	$9,434	$9,561	$9,210	$9,561

-- Maintain and operate a system to acquire, code and record information on a statistical sample (12,000 accidents) of the 6 million motor vehicle accidents in the United States.

-- Operate 50 Primary Sampling Units (PSU) in 27 states at which trained personnel acquire and code accident data including vehicle damage, occupant injuries, roadway conditions and related factors for a sample of police-reported accidents involving all types of highway vehicles and pedestrians, and resulting in all levels of injury.

-- Collect, record and code accident data for FHWA on a specially selected group of accidents involving collisions with roadside barriers or crash cushions .

-- Operate four regional zone centers to conduct a technical review of the accident data for completeness and accuracy, and to recommend technical improvements to the NASS.

-- Create and maintain automated data files of all accident data collected since 1979 in format suitable for statistical analysis.

-- Maintain complete field data collection records for CY 1983 and 1984 on statistically selected investigations and all special study cases for use by clinical research analysts.

-- Operate a field investigator training program at the Transportation Safety Institute to train 140 field investigators in basic and advanced accident reconstruction skills as necessary to collect and code accident data.

-- Develop improved field accident investigation techniques and computer assisted technologies to acquire and record data and to reconstruct accidents.

-- Review data collection needs as defined by data users and initiate training, automatic data recording and data collection to meet defined needs.

-- Prepare forms and manuals for data collection for CY 1987.

-- Research advanced accident data collection technology and equipment that will provide improved or more cost-effective data collection.

-- Research advanced computerized data entry and data management methodologies that will be cost effective and enhance operations.

-- Review the procedures by which NASS selects accidents and produces national estimates, to increase the accuracy of NASS's national estimates, maximize the utility of NASS to the mission of NHTSA, improve the mixture of cases selected, and reduce the time required for field investigators to select and locate cases.

-- Review the NASS PSU and police jurisdiction selections and recommend any changes necessary. The NASS PSU's have not been reviewed since they were selected 10 years ago, and a thorough review of all police jurisdiction selections is also appropriate.

-- Improve the NASS statistical quality control program. NASS quality control to date has concentrated on individual case review and on management control of case processing. The systematic application of statistical quality control principles to the entire NASS file will measure overall NASS data quality and will identify areas where data quality can be improved.

The FY'87 Request for NASS ($9,561) will cover the cost of operating the PSUs and Zone Centers, and limited training and technological advancements as described above.

	FY 1985 APPROPRIATED	FY 1986 ENACTED	FY 1986 AFTER SEQUESTERING	FY 1987 REQUEST
3. Accident Data Analysis	$1,358	$2,000	$1,656	$2,000

-- Use the extensive accident data and data files available to NCSA to address important traffic safety questions such as the following:

  o Study the effects of State mandatory belt use laws on traffic fatalities and injuries.

  o Determine the role of alcohol involvement in traffic accidents. Determine the effect of drunk driving programs in reducing alcohol involvement and identify what additional programs can be effective.

  o Produce regular statistical reports: monthly fatality estimates, quarterly accident and injury estimates, semi-annual traffic fatality analyses, annual comprehensive FARS and NASS reports, and periodic Fatality Trend studies.

  o Investigate recent traffic fatality and injury trends, to assess what is occurring on the nation's highways, find out why it is happening, anticipate what will happen and use these findings to direct safety programs. Examples of recent important trends include heavy truck involvement, the increasing role of females and the elderly in traffic accidents, and the influence of smaller cars.

  o Assist NHTSA program offices with accident and exposure data and analyses, as requested.

-- Provide staff, computer support, and contract assistance to answer the thousands of information requests received annually from federal, State, and local governments, the media, research organizations, and private citizens.

-- Study additional questions on belted occupants. Data from the States with mandatory belt use laws will, for the first time, provide the agency with accident data in which a substantial portion of occupants are belted. This will enable NCSA to analyze questions such as the differences in injury types and severities between belted and unbelted occupants and the characteristics of occupants who fail to use belts even when required by law. Answers to these questions are vital in efforts to extend mandatory use laws to more States.

-- Analyze the role of alcohol in non-fatal accidents. Most alcohol studies have used fatal accidents, since alcohol data is frequently unavailable for non-fatal accidents. Some States have accident data files which will permit such analyses.

	FY 1985 APPROPRIATED	FY 1986 ENACTED	FY 1986 AFTER SEQUESTERING	FY 1987 REQUEST
4. Special Interest Accident Investigations	$250	$300	$300	$300

-- Conduct quick reaction investigations of motor vehicle accidents of special interest including:

- o Significant crashes of cars equipped with air bags.
- o Serious school bus accidents.
- o Accident in which vehicle defects are suspected of being contributing factors.
- o Accidents that are the subject of major, detailed studies of the long-term consequences associated with serious head/neck injuries.

The FY'87 Request will be used to cover investigations that will be carried out on accidents involving air bags and other occupant protection technologies. Additionally, this funding will allow summary analyses of air bag and school bus accidents to be published.

OFFICE OF THE ADMINISTRATOR
(Dollars in Thousands)

	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request	Increase(+) or Decrease(-)
Positions:				
Federal Funds	31	31	31	...
Highway Trust Fund (HTF)	10	10	10	...
Highway Traffic Safety Grants (HTF)	7	7	7	...
Total	48	48	48	...
Dollars:				
Salaries and Expenses:				
Federal Funds	$1,486	$1,458	$1,492	+$34
Highway Trust Fund (HTF)	545	534	548	+ 14
Highway Traffic Safety Grants (HTF)	302	302	302	...
Total	2,333	2,294	2,342	+ 48
Operating Expenses:				
Federal Funds	238	192	279	+ 87
Highway Trust Fund (HTF)	81	65	92	+ 27
Total	319	257	371	+114
Summary:				
Federal Funds	$1,724	$1,650	$1,771	+121
Highway Trust Fund (HTF)	626	599	640	+ 41
Highway Traffic Safety Grants (HTF)	302	302	302	...
Total	$2,652	$2,551	$2,713	+162

FUNCTION:

The Office of the Administrator provides for the overall executive direction, coordination, and implementation of the administration's programs in accordance with statutory authority derived from the National Traffic and Motor Vehicle Act, the Highway Safety Act, and the Motor Vehicle and Cost Savings Act.

In the area of executive direction, responsibilities include providing leadership and direction; initiating new programs to reduce traffic fatalities and injuries; coordinating research and development efforts to meet legislative objectives; determining program modifications to meet changing needs and requirements; and coordinating program and management policies.

- JUSTIFICATION FOR PERMANENT POSITIONS -

IMMEDIATE OFFICE OF THE ADMINISTRATOR

The Administrator is responsible for the executive direction of the Agency and for the establishment and overall implementation of Administration policy. The allocations shown below cover the Administrator and immediate staff.

	FY 1986	FY 1987 Request	Increase(+) or Decrease(-)
Positions..................	8	8	...

OFFICE OF THE DEPUTY ADMINISTRATOR

The Deputy Administrator assists the Administrator in discharging all assigned responsibilities and provides executive direction to the Director of Regional Operations and the Director of International Harmonization. The allocations shown below cover the Deputy Administrator and immediate staff.

	FY 1986	FY 1987 Request	Increase(+) or Decrease(-)
Positions..................	6	6	...

OFFICE OF THE MANAGING DIRECTOR (Established under the reorganization of October 1985)

The Managing Director provides executive direction and supervision to the Associate Administrators for the Office of Budget, Planning and Policy Development; Research and Development, and Administration. Serves as principal advisor to the Administrator and Deputy Administrator with respect to internal management and mission support programs. Provides advice, guidance, and direction for major support activities, including key personnel appointments, allocation of resources, planning, and research and development.

	FY 1986	FY 1987 Request	Increase(+) or Decrease(-)
Positions..................	2	2	...

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OFFICE OF THE ADMINISTRATOR
EXPLANATION OF DIFFERENCES IN ORGANIZATIONAL AND BUDGET
Position Allocations

Organizational Element Office of the Administrator	Organizational Allocation	Mission Support Function	Budget Allocation
Office of the Administrator	4	...	4
Deputy Administrator	3	...	3
Managing Director	2	...	2
International Harmonization	1	...	1
Executive Secretariat	11	...	11
Director of Regional Operations	2	...	2
Office of Civil Rights	6	...	6
Office of Chief Counsel	28	-21	7
Office of Public and Consumer Affairs	12	...	12
Total, Office of the Administrator	69	-21	48

Explanation

Mission Support Functions

Chief Counsel - Twenty-one positions organizationally assigned to the Office of the Administrator are shown in various program areas since they provide direct and specialized legal support for activities dealing with the regulatory, enforcement, and general law matters relative to the traffic and motor vehicle safety and fuel economy functions of NHTSA.

The assignment of staff to program areas is done in order to provide a more complete accounting of resources to which are supportive of the program areas affected.

The 21 are distributed as follows:

Rulemaking	9
Enforcement	8
Highway Safety	4

GENERAL ADMINISTRATION
(Dollars in Thousands)

	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request	Increase(+) or Decrease(-)
Positions				
Federal Funds	57	57	57	...
Highway Trust Fund (HTF)	20	20	20	...
Highway Traffic Safety Grants (HTF)	11	11	11	...
Total	88	88	88	...
Dollars:				
Salaries and Expenses:				
Federal Funds	$2,487	$2,420	$2,494	+ $74
Highway Trust Fund (HTF)	845	819	848	+ 29
Highway Traffic Safety Grants (HTF)	423	423	423	...
Total	3,755	3,662	3,765	+103
Operating Expenses:				
Federal Funds	1,854	1,735	2,252	+ 517
Highway Trust Fund (HTF)	519	486	642	+ 156
Highway Traffic Safety Grants (HTF)	524	309	524	+ 215
Total	2,897	2,530	3,418	+ 888
Contract Program:				
Federal Funds	668	639	668	+ 29
Highway Trust Fund (HTF)	227	218	227	+ 9
Total	895	857	895	+ 38
Summary:				
Federal Funds	$5,009	$4,794	$5,414	+$620
Highway Trust Fund (HTF)	1,591	1,523	1,717	+ 194
Highway Traffic Safety Grants (HTF)	947	732	947	+ 215
Total	$7,547	$7,049	$8,078	+$1,029

FUNCTION:

General Administration includes the development, coordination and evaluation of the Administration's plans and programs. Studies are conducted to define the Administration's objectives; new programs are developed or major changes are made in the emphasis of ongoing programs. Support Services are provided for the development and implementation of comprehensive programs in all administrative areas, including personnel management and organization planning; financial management; management data systems; management improvement; and contracting and procurement. In addition, administrative services are provided or obtained as required for effective program operations, including general housekeeping services, computerized data services, and technical reference services relating to motor vehicle and traffic safety research documents.

JUSTIFICATION FOR PERMANENT POSITIONS

ASSOCIATE ADMINISTRATOR FOR PLANS AND POLICY

The Associate Administrator for Plans and Policy coordinates the development of NHTSA plans, policies, budgets, and programs, provides analyses of their expected impact and their evaluation in terms of the degree of goals achievement. The Associate Administrator is also responsible for conducting independent analyses of proposed regulatory activities. These functions are carried out by the following program offices:

The Office of Standards Evaluation provides leadership in developing a system for conducting standards evaluations, develops procedures and conducts evaluations of actual effectiveness of the Agency's safety, fuel economy and consumer related standards.

The Office of Regulatory Analysis serves as the focal point for conducting engineering, economic, and regulatory analyses for the independent assessment of the impact of NHTSA's programs on the national economy, social conditions, market forces, the environment and regulated industry.

The Office of Budget, Planning and Policy Development serves as the focal point in the Agency for the development of policy options, budgets and program initiatives. Assists in the definition of administration objectives and develops broad, long-range program plans for achievement of these objectives.

	FY 1986	FY 1987 Request	Increase (+) or Decrease (-)
Positions	10	10	...

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR ADMINISTRATION

The Office of the Associate Administrator for Administration is the principal advisor to the Administrator, through the Managing Director, on all administrative matters pertinent to NHTSA missions, programs, and objectives. In this capacity, the Associate Administrator participates in policy determinations and program formulation, directs the activities of various administrative elements such as personnel management, financial management, etc. She also specifies, acquires, and coordinates staff support services such as payroll, audits, etc., provided by other DOT elements, and provides technical assistance to cooperating State organizations in connection with organizational matters, management practices, and financial and administrative management relative to NHTSA policy and program requirements.

	FY 1986	FY 1987 Request	Increase(+) or Decrease (-)
Positions	3	3	...

OFFICE OF PERSONNEL

The Office of Personnel plans and administers comprehensive personnel management and training policies and programs. This encompasses recruitment, placement, position classification, employee utilization, employee relations, labor relations, position management, incentive awards, grievances, merit promotion, employee training and several other programs and activities.

	FY 1986	FY 1987 Request	Increase (+) or Decrease (-)
Positions	13	13	...

OFFICE OF CONTRACTS AND PROCUREMENT

The Office of Contracts and Procurement develops and administers procurement management policies for all elements of NHTSA, including Regional Offices. This involves planning and administering the Administration's procurement program in accordance with Federal and Departmental procurement policy and procedures. Other functions include the solicitation of bids and proposals, contracts awards and administrative contract management.

	FY 1986	FY 1987 Request	Increase (+) or Decrease (-)
Positions	20	20	...

OFFICE OF MANAGEMENT AND DATA SYSTEMS

The Office of Management and Data Systems plans, develops, directs and conducts comprehensive management and administrative analysis services and consultive services aimed at improving management practices and control; performance and productivity; and efficiency, effectiveness, and economy of Administration programs and operations. In addition, the office provides and administers NHTSA automatic data processing programs.

	FY 1986	FY 1987 Request	Increase(+) or Decrease(-)
Positions	11	11	...

OFFICE OF ADMINISTRATIVE OPERATIONS

The Office of Administrative Operations provides essential administrative, technical reference and auxiliary support services for NHTSA; administers the Occupational Safety and Health Program, fire prevention and Emergency Preparedness Programs; in addition to providing liaison with other elements of the Department.

	FY 1986	FY 1987 Request	Increase(+) or Decrease(-)
Positions	16	16	...

OFFICE OF FINANCIAL MANAGEMENT

The Office of Financial Management develops and administers NHTSA financial management policies and standards, and designs, installs, and administers the approved accounting systems prescribed for NHTSA. Significant activities include the development of administrative procedures for the control of appropriations, the Highway Traffic Safety Grant Program funds to the States, assisting the States in the administration of federally assisted programs, and liaison activities with counterparts in the Office of the Secretary of Transportation, Treasury Department and the General Accounting Office.

	FY 1986	FY 1987 Request	Increase(+) or Decrease (-)
Positions	15	15	...

GENERAL ADMINISTRATION
Explanation of Differences in Organization and Budget Position Allocation

Organizational Element General Administration	Organizational Allocation	Mission Support Function	Budget Allocation
Associate Administrator - Plans and Programs	33	-23	10
Associate Administrator - Administration	3	...	3
Personnel	13	...	13
Contracts & Procurement	20	...	20
Management & Data Systems	11	...	11
Administrative Operations	18	-2	16
Financial Management	15	...	15
Total, General Administration	113	-25	88

Explanation

Mission Support Functions

Plans and Programs - twenty-three positions assigned to the Office of Plans and Programs are shown in various programs since they provide direct and specialized support for developing plans, objectives, economic impact and analyses and evaluations for the administration of major program activities.

Administrative Operations - two positions assigned to the Office of Administrative operations area are assigned technical reference responsibilities for Rulemaking programs.

The assignment of General Administration staff to program areas is done in order to provide a more complete accounting of resources which are supportive of the program areas affected.

The 25 are distributed as follows:

Rulemaking.............	16
Enforcement.............	1
Highway Safety..........	4
Research & Development..	4

GENERAL ADMINISTRATION
RESOURCE SUMMARY
CONTRACT PROGRAM
(Dollars in Thousands)

	FY 1985 Appropriated	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request	Increase (+) or Decrease (-)
Program Evaluation	$722	$895	$857	$895	+$38
Federal Funds	648	668	639	668	+ 29
Highway Trust Funds	74	227	218	227	+ 9
Total	$722	$895	$857	$895	+$38

Program: Program Direction and Coordination
Plans and Policy

	OBLIGATIONS Amount ($000)
FY 1985 Appropriated	$722
FY 1986 Enacted	$895
FY 1986 After sequestering	$857
FY 1987 Request	$895

Fiscal
Year
1987

Project Title: Program Evaluation

Major Program Objective:

Evaluate benefits and costs of programs and rules.

Problem:

There is a continuing need to evaluate the cost effectiveness and public acceptance of national highway safety programs and regulations. In addition, each agency is required by Executive Order 12291 to review existing regulations to evaluate their net benefits and costs to society. Of particular interest is the effectiveness of Federal Motor Vehicle Safety Standards (FMVSS).

Objectives and General Approach

The objective of program evaluation is to: gather information on program activities and measure their effectiveness in reducing accidents and their consequences.

FMVSS Evaluation - Existing standards are evaluated to determine their effectiveness in terms of benefits such as lives saved, injuries reduced or property damage averted in motor vehicle accidents, and to estimate consumer costs for safety equipment and vehicle operation. The evaluation results serve as one basis for rulemaking decisions on present and future rules. Present standards may be modified, deleted or continued as a result of a thorough evaluation and verification of improved safety performance of the affected motor vehicles.

APPROACH: -

Federal Motor Vehicle Safety Standard (FMVSS) evaluation is a systematic effort to establish the effectiveness of major standards which have been in effect for several years and to evaluate new standard effectiveness after vehicles are made to comply with the standard. The evaluation process begins by determining if and how the standard can be evaluated--then, a series of studies are conducted to: collect and analyze on-the-road (or surrogate) data to determine changes in accident experience (or related vehicle performance); estimate changes in consumer costs for vehicle safety equipment; and analyze results of the effectiveness and cost studies to estimate overall standard effectiveness in terms of benefits and costs.

Benefits:

FMVSS Evaluation will (a) help assess the suitability of performance requirements based on vehicle design under real-world conditions, (b) help establish a basis for revising standard performance requirements, and (c) determine the extent to which accident frequency and severity in terms of injuries, fatalities and damage are reduced.

Accomplishments

FY 1985

- Published an evaluation of two Federal Motor Vehicle Standards - Glazing and Windshield Retention (FMVSS 205 and 212 respectively).
- Published a contractor report on weights and costs of 1982, 1983 and 1984 model year passenger car bumpers.
- Published a contractor report on weights and costs for four motor vehicle safety standards - Safety Belt Anchorages (FMVSS 210), Interior Impact Protection (FMVSS 201), and Steering Systems (FMVSS's 203 and 204).
- Published a Preliminary Evaluation of Voluntary Tire Registration.

FY 1986 Work to be Accomplished		($000's)
	TOTAL	$857

- o Evaluation of Federal Motor Vehicle Safety Standards — 817
  - Effectiveness of Child Safety Seats in Side Impacts (Standard 213)
  - Center High-Mounted Stop Lamps (Standard 108) - first year performance in reducing accidents
  - Monitoring amended Bumper Standard
    - change in damage repair costs for third year after amendment based on insurance data of 1985 cars
    - changes in bumper system designs based on teardown of 1986 model bumpers
  - Uniform Tire Quality Grading Standard - determination of information used by consumers in tire purchases or information consumers would like to use.
  - Theft Prevention
    - Analysis of premium and gross payment by insurers - baseline data (1983 and 1984 cars)
    - Analysis of stolen vehicle and recovery - baseline data (1983 and 1984 cars)
  - Fuel System Integrity (Standard 301) - fire accident data for light trucks and small cars will be collected for analysis in evaluating standard effectiveness.

- o Computer Costs — 40

Planned for FY 1987	TOTAL $895
o Evaluation of Federal Motor Vehicle Safety Standards	855

- Theft Prevention - First years experience compared to baseline
  - Analysis of premium and gross payment by insurers
  - Analysis of stolen vehicles
- Passive Restraints (Standard 208) - costs of automatic belt systems based on teardown studies
- Child Passenger Protection - infant restraints will be evaluated in both frontal and side impacts for both correctly and incorrectly used restraints, car beds, and infants on adult laps
- Effects of Mandatory Belt use laws on injuries and fatalities will be evaluated using State accident data
- Belt Comfort and Convenience (Standard 209) will be evaluated for baseline (1986 vehicles) and first year experience (1987 vehicles)
- Tire Registration - follow-up analysis of tire registrations for tires sold by independent dealers.
- Center High-Mounted Stop Lamps (Standard 108) - Continued evaluation of State accident data to determine effectiveness of stop lamps will be performed. Costs of center high-mounted stop lamps for design improvements in second year of standard will be studied based on teardown of 1987 model lamps.
- Securiflex Windshields (Standard 205) - Accident data of cars with Securiflex windshields as standard equipment will be evaluated to determine effectiveness in injury severity reduction.

o Computer Costs	40

STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
MISCELLANEOUS SAFETY PROGRAMS
Program and Financing (in thousands of dollars)

Identification code 69-0651-0-1-401	*85	*86	*87
Program by activities:			
1. Transportation systems management.	817	108	...
10.00 Total obligations (object class 41.0)	817	108	...
Financing:			
21.40 Unobligated balance, start of year	-925	-108	...
24.40 Unobligated balance, end of year	108	...	...
40.00 Budget authority (appropriation)	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	817	108	...
72.40 Obligated balance, start of year	7,552	6,875	5,483
74.40 Obligated balance, end of year	-6,875	-5,483	-3,983
90.00 Outlays	1,494	1,500	1,500

This schedule displays NHTSA's Territorial Grant and Transportation Systems Management programs. These programs no longer require appropriations. Obligation and outlay amounts shown reflect spend-out of prior year appropriations.

STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
TRUST FUND SHARE OF OPERATIONS AND RESEARCH
Program and Financing (in thousands of dollars)

69-8016-0-7-401	85	86	87
Program by activities:			
00.01 Highway safety programs	9,724	10,498	13,793
00.02 Research and analysis	11,933	22,679	12,890
00.03 Office of the Administrator	580	626	640
00.04 General administration	1,806	1,591	1,717
10.00 Total obligations	24,043	35,394	29,040
Financing:			
21.40 Unobligated balance available, start of year	-658	-1,500	...
22.40 Unobligated balance transferred, net	-1,500	-5,500	...
23.40 Unobligated balance rescinded (P.L. 99-88)	...	1,500	...
24.40 Unobligated balance available, end of year	1,500	...	...
25.00 Unobligated balance lapsing	446	...	...
40.00 Budget authority (appropriation)	23,831	29,894	29,040
Relation of obligations to outlays:			
71.00 Obligations incurred, net	24,043	35,394	29,040
72.40 Obligated balance, start of year	10,288	13,305	23,316
74.40 Obligated balance, end of year	-13,305	-23,316	-24,107
90.00 Outlays	21,026	25,383	28,249

DEPARTMENT OF TRANSPORTATION

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

TRUST FUND SHARE OF OPERATIONS AND RESEARCH

PROGRAM AND PERFORMANCE

This account represents the portion of the operations and research appropriation authorized under 23 U.S.C. 403 and financed from the Highway Trust Fund for the following activities:

1. Highway Safety Programs - Provides for headquarters and field staff to assist the States in the conduct of their highway safety and demonstration programs, and to develop and implement a National Occupant Protection Program.

2. Research and Analysis - Provides for highway safety research in support of NHTSA programs, including the collection and analysis of data to determine the relationship between driver performance characteristics and crashes causing death or personal injury. Research is also undertaken to identify ways to improve safety belt usage and alcohol control. The 1987 budget includes funds to continue a national accident data collection program to improve problem identification, regulatory reform, and program evaluation activities.

3. Office of the Administrator - Provides for the pro rata contribution to the cost of executive direction, coordination and implementation of agency programs. Includes legal, public affairs, civil rights and executive secretariat support for programs of this administration.

4. General Administration - Provides for the pro rata contribution to the cost of planning, program evaluation, and basic administrative and supporting services for programs of this administration.

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STANDARD FORM 304
May 1969, Bureau of the Budget
Circular No. A-11 Revised
304-103

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
TRUST FUND SHARE OF OPERATIONS AND RESEARCH
OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-8016-0-7-401	1985 actual	1986 estimate	1987 estimate
Personnel compensation:			
11.1 Permanent positions	5,795	6,157	6,157
11.3 Positions other than permanent	537	552	552
11.5 Other personnel compensation	71	46	72
~~11.8 Special personal services payments~~			
Total personnel compensation	6,403	6,755	6,781
Personnel benefits:			
12.1 Civilian	697	745	745
13.0 Benefits for former personnel	17	0	0
21.0 Travel and transportation of persons	371	351	351
22.0 Transportation of things	20	41	47
23.1 Standard level user charges	658	636	961
23.3 Other rent, communications and utilities	319	314	320
24.0 Printing and reproduction	260	359	387
25.0 Other services	15,012	25,604	18,806
26.0 Supplies and materials	50	84	92
31.0 Equipment	236	505	550
~~32.0 Lands and structures~~			
~~33.0 Investments and loans~~			
~~41.0 Grants, subsidies and contributions~~			
~~42.0 Insurance claims and indemnities~~			
~~43.0 Interest and dividends~~			
~~44.0 Refunds~~			
99.0 Total obligations	24,043	35,394	29,040

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
TRUST FUND SHARE OF OPERATIONS AND RESEARCH
Personnel Summary

Identification code 69-8016-0-7-401	1985 actual	1986 estimate	1987 estimate
Total number of full-time permenent positions	142	143	143
Total compensable workyears:			
Full-time equivalent employment	146	147	145
Full-time equivalent overtime and holiday hours	0	1	1

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Trust Fund Share of Operations and Research
Reduction Pursuant to Public Law 99-177
Program and Financing (in thousands of dollars)

Identification code 69-8016-6-7-401	85	86	87
Program by activities:			
10.00 Total obligations	....	-1,285	....
Financing:			
40.00 Budget authority (appropriation)	....	-1,285	....
Relation of obligations to outlays:			
71.00 Obligations incurred, net	....	-1,285	....
72.40 Obligated balance, start of year	....	....	-617
74.40 Obligated balance, end of year	....	617	161
90.00 Outlays	....	-668	-456

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177.

(Memo cnt: 21.6)	(Memo cnt: 0)	(Memo cnt: 0)	(Memo cnt: 4.0)

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY) (HIGHWAY TRUST FUND)

For payment of obligations incurred carrying out the provisions of 23 U.S.C. 402, 406, and 408, and section 209 of Public Law 95-599, as amended, to remain available until expended, [$149,000,000] $118,000,000, to be derived from the Highway Trust Fund: Provided, That none of the funds in this Act shall be available for the planning or execution of programs the total obligations for which are in excess of [$126,500,000] $110,000,000 in fiscal year [1986] 1987 for "State and community highway safety" authorized under 23 U.S.C. 402: Provided further, That none of these funds shall be used for construction, rehabilitation or remodeling costs or for office furnishings and fixtures for State, local, or private buildings or structures: Provided further, That none of the funds in this Act shall be available for the planning or execution of programs the total obligations for which are in excess of [$28,800,000] $17,900,000 for "Alcohol safety incentive grants" authorized under 23 U.S.C. 408: Provided further, That none of the funds in this Act shall be available for the planning or execution of programs authorized by section 209 of Public Law 95-599, as amended, the total obligations for which are in excess of $5,000,000 in fiscal years 1983, 1984, 1985, [and] 1986 and 1987: Provided further, That not to exceed [$5,000,000] $4,900,000 shall be available for administering the provisions of 23 U.S.C. 402.

(Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190; additional authorizing legislation to be proposed.)

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY) (TRUST FUNDS)
Program and Financing (in thousands of dollars)

Identification code 69-8020-0-7-401	1985	1986	1987
Program by activities:			
Safety formula grants:			
00.01 Grants..........................	120,612	121,500	105,100
00.02 Administration.................	4,900	5,000	4,900
00.03 School bus driver training......	96	...	...
00.04 Alcohol safety incentive grants.........................	6,287	14,400	14,400
00.05 Safety education and information..................	3,685	...	...
10.00 Total obligations............	135,580	140,900	124,400
Financing:			
21.49 Unobligated balance available, start of year: Contract authority.....................	-152,942	-193,803	-184,653
23.49 Unobligated balance rescinded (P.L. 99-88)..................	...	250	...
24.49 Unobligated balance available, end of year: Contract authority.....................	193,803	134,653	135,500
25.00 Unobligated balance lapsing.....	59	...	34,753
39.00 Budget authority...........	176,500	132,000	110,000
Budget authority:			
Current:			
40.00 Appropriation..................	125,000	149,000	118,000
40.49 Portion applied to liquidate contract authority...........	-125,000	-149,000	-118,000
43.00 Appropriation (adjusted).......	...	...	...
49.10 Contract authority............	...	...	110,000
Permanent:			
69.10 Contract authority (96 Stat. 1740)........................	176,500	132,000	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net......	135,580	140,900	124,400
Obligated balance, start of year:			
72.40 Appropriation................	9,157	14,020	29,620
72.49 Contract authority...........	103,807	114,387	106.287

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY) (TRUST FUNDS)
Program and Financing (in thousands of dollars) (Continued)

Identification code 69-8020-0-7-401	85	86	87
Obligated balance, end of year:			
74.40 Appropriation	-14,020	-29,620	-14,545
74.49 Contract authority...........	-114,387	-106,287	-112,687
90.00 Outlays.......................	120,137	133,400	133,075
Distribution of budget authority by account:			
Safety formula grants...............	126,500	132,000	110,000
Alcohol safety incentive grants.....	50,000	...	...
Distribution of outlays by account:			
Safety formula grants...............	113,592	122,400	112,075
School bus driver training..........	1,337	500	500
Alcohol safety incentive grants.....	4,377	8,500	19,000
Safety education and information....	831	2,000	1,500

Status of Unfunded Contract Authority (in thousands of dollars)

Unfunded balance, start of year.......	256,749	308,190	285,264
Contract authority (96 Stat. 1740)....	50,000	...	...
Contract authority (98 Stat. 435).....	126,500	132,000	110,000
Reduction pursuant to P.L. 99-177.....	...	-5,676	...
Unfunded balance lapsing..............	-59	...	-34,753
Appropriation to liquidate contract authority..........................	-125,000	-149,000	-118,000
Unobligated balance rescinded (P.L. 99-88)........................	...	-250	...
Unfunded balance, end of year.......	308,190	285,264	242,511

NOTE - The activities financed under the State and Community Highway Safety (Liquidation of Contract Authorization) account in 1985 and 1986 are presented in these schedules and are proposed to be financed in this account in 1987. Budget authority and outlays are distributed by account above.

DEPARTMENT OF TRANSPORTATION

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

HIGHWAY TRAFFIC SAFETY GRANTS

PROGRAM AND PERFORMANCE

1.a. Safety formula grants. - Grant allocations are determined on the basis of a statutory formula established under 23 U.S.C. 402. Individual States use this funding in areas which have the greatest potential for achieving safety improvements and reducing traffic crashes and fatalities. Activities are centered predominantly on efforts to control the drinking driver; stimulate activities to improve child passenger safety and increase safety belt usage; improve traffic law enforcement; improve the quality of emergency medical services; improve the collection and analysis of traffic accident data; and establish and maintain a computerized traffic recordkeeping system.

1.b. Safety formula grant administration. - Under 23 U.S.C. 402, up to 5 percent of amounts authorized for safety formula grants are permitted to be used for reimbursement to the operations and research account for grant administration. Funds of $4.9 million are required to cover the expenses of administering Federal grant activity in 1987.

2. Alcohol safety incentive grants. - Grant allocations will be made under 23 U.S.C. 408, to those States which adopt and implement effective programs to reduce traffic safety problems resulting from persons driving while under the influence of alcohol. These grants will be made in accordance with established criteria and will only be used to implement and enforce such programs. Public Law 97-364 establishes a two-tier grant system. The first tier, i.e., basic grant, amounts to 30 percent of each State's apportionment under the safety formula grant program (section 402 program) if the State meets specified minimum criteria. The second tier is a supplemental grant of up to 20 percent of the State's apportionment if it qualifies for the base grant and implements additional specified alcohol traffic safety measures. Public Law 98-363 established a third tier to encourage States to enact stiffer penalties for drunk driving.

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STANDARD FORM 304
May 1969, Bureau of the Budget
Circular No. A-11, Revised
304-103

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY) (TRUST FUNDS)

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-8020-0-7-401	1985 actual	1986 estimate	1987 estimate
~~Personnel compensation~~			
~~11.1 Permanent positions~~			
~~11.3 Positions other than permanent~~			
~~11.5 Other personnel compensation~~			
~~11.8 Special personal services payments~~			
~~Total personnel compensation~~			
~~Personnel benefits~~			
~~12.1 Civilian~~			
~~13.0 Benefits for former personnel~~			
~~21.0 Travel and transportation of persons~~			
~~22.0 Transportation of things~~			
~~23.0 Rent, communications, and utilities~~			
~~24.0 Printing and reproduction~~			
25.0 Other services	4,900	5,000	4,900
~~26.0 Supplies and materials~~			
~~31.0 Equipment~~			
~~32.0 Lands and structures~~			
~~33.0 Investments and loans~~			
41.0 Grants, subsidies, and contributions	130,680	135,900	119,500
~~42.0 Insurance claims and indemnities~~			
~~43.0 Interest and dividends~~			
~~44.0 Refunds~~			
99.0 Total obligations	135,580	140,900	124,400
			149
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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY) (TRUST FUNDS)
Program and Financing (in thousands of dollars)

Identification code: 69-8020-6-7-401	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total obligations..............	....	-5,440	....
Financing:			
21.40 Unobligated balance available, start of year................	....	....	-236
24.40 Unobligated balance available, end of year..................	....	236	236
49.10 Budget authority (contract authority)..................	....	-5,676	....
Relation of obligations to outlays:			
71.00 Obligations incurred, net.....	....	-5,440	....
72.40 Obligated balance start of year.......................	....	....	-2,735
74.40 Obligated balance end of year..	....	2,735	298
90.00 Outlays.................-......	....	-2,705	-2,437

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

JUSTIFICATION OF SAFETY FORMULA GRANT PROGRAM LEVEL
($ in thousands)

Obligations	FY 1985 Appropriation	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
Safety Formula Grant Program	$126,500	$126,500	$121,060	$110,000
Grants	(121,600)	(121,500)	(116,275)	(105,100)
Grant Administration	(4,900)	(5,000)	(4,785)	(4,900)
Obligation Limitation	$126,500	$126,500	$121,060	$110,000
Budget Authority				
Safety Formula Grants	$126,500	$132,000	$126,324	$110,000

Introduction and Background

Funding for these programs is authorized by the Highway Safety Act of 1982, as amended and supplemented, under authority of Section 402, Title 23, U.S.C. These provisions direct the Secretary of Transportation to encourage and assist the States in the development and implementation of highway safety programs to reduce traffic accidents and the resulting deaths, injuries, and property damage.

Fatality Profile

Traffic crashes claimed 44,241 lives in 1984. Traffic crashes are the number one cause of death for children between the ages of five and nine, and they are the number two cause of death for children in the 10 to 14 age brackets. Between the ages of 15 and 34, they are again number one. Drivers under 25 years old are involved in 34 percent of fatal accidents; yet they constitute only 20 percent of licensed drivers. Although the number of young drivers peaked around 1980, this group will continue to remain a major traffic safety problem during this decade.

Alcohol is a leading cause of vehicle fatalities. Alcohol is involved in approximately 47.5 percent of all fatal crashes. Forty-three percent of the drivers fatally injured were intoxicated at the time of the crash. Of the estimated 23,500 alcohol-related fatalities annually, about one-half to two-thirds involve problem drinkers. It has also been estimated that up to 10 percent of the drivers on the road during weekend nights are legally intoxicated.

There is also persuasive evidence that safety belts and child safety restraints could prevent at least half of all highway passenger car and light truck deaths and injuries if all occupants would use them. For each 10 percent increase in safety belt and child safety restraint use on a national basis, NHTSA estimates that between 9,200 and 11,800 deaths and between 136,000 and 170,000 serious injuries would be avoided per year.

Formula Grant Program

Much progress has been made by the States in implementing highway safety measures as envisioned by the 1966 Highway Safety Act. More recently, the States and the National Highway Traffic Safety Administration (NHTSA) have concentrated their attention on those program areas determined to be most effective in the reduction of crashes and the saving of lives.

As a result of the foregoing efforts, and in accordance with the Omnibus Budget Reconciliation Act of 1981 (P.L. 97-35), NHTSA and the Federal Highway Administration (FHWA) issued a final rule on April 1, 1982, which identified six highway safety programs as being the most effective in reducing accidents, injuries, and fatalities. The rule provides for the continued eligibility of these programs for Federal funding under the Formula Grant Program (23 U.S.C. 402). The six national priority areas are: Alcohol Countermeasures, Police Traffic Services, Emergency Medical Services, Traffic Records, Occupant Protection, Safety Construction and Operational Improvements. By focusing on the national priority areas, the Safety Formula Grant Program should continue to achieve measurable accident reductions.

FY 1987 Budget Request

The FY 1987 budget reflects the continuing emphasis being given to alcohol safety programs, particularly at the community level. It also reinforces the emphasis being placed on programs directed toward increased safety belt and child restraint usage.

The 1981 Budget Act and STAA of 1982 authorized $100 million per year for the Section 402 program in fiscal years 1983-1986. Legislation enacted in 1984 provided two new temporary categories of earmarked funding under the 402 program--child seats (8% of total) and traffic records computerization (10% of total), and it temporarily increased Section 402 authorization levels to provide funding (to $126.5 million in FY 1985 and $132 million in FY 1986). The recently enacted Continuing Resolution limited spending on Section 402 to $126.5 million for FY 1986, a figure which is subject to further reductions under Gramm-Rudman. Requested funding for FY 1987 is $110 million--only a slight reduction from the total funding for FY 1986, and in fact an increase compared to general-purpose 402 funding in this fiscal year.

The expiration of the two special set-aside programs account for the reduction in total funding for the Section 402 program. The preservation of the program at or near current-year levels--and above the FY 1984-85 level--reflects the Department's continued high priority on highway safety programs. The need to reduce the Federal dificit and conform to Gramm-Rudman targets precludes any further spending in this program.

The 1987 request for Safety Formula Grants will be used to sustain and accelerate activities in key program areas to:

- Attack the drinking driver problem through encouragement of community-based comprehensive, coordinated alcohol safety programs.
- Focus additional and more effective traffic law enforcement efforts on those unsafe driving acts identified as principal causes of collisions and injury severity, and on increasing safety belt usage.

- Improve the quality of emergency medical services, particularly in development of systems of trauma care.
- Increase public awareness and knowledge of crash risks and restraint usage benefits for the motoring public.
- Intensify the development and implementation of comprehensive programs concerning the use of child restraint systems in motor vehicles.
- Improve the content and quality of traffic records required for crash analysis at the State and national levels.

Alcohol Safety Programs

Provides funds to support State and local efforts to implement comprehensive community based drunk driving programs and to improve countermeasure effectiveness and efficiency within such programs. Implementation of the following six key alcohol program elements will be emphasized:

- General deterrence approach: programs at all levels must be of a general deterrence nature, that is, designed to impact and deter the vast majority of drunk drivers who will never be arrested. Programs that focus exclusively on the relatively few DWI's arrested each year (approximately one in every 2,000) will not significantly reduce next year's alcohol-related crashes. Therefore, it is necessary to have comprehensive programs that will deter a large number of drivers from driving while under the influence in addition to having a specific deterrence for those who are convicted for DWI.
- Community focus: the prime responsibility for solving the drunk driving problem and the forum for action must be at the local level. The Federal Government cannot solve this problem; it can only promote and facilitate local/State solutions.
- Systems approach: integrating and coordinating the various functions involved--enforcement, prosecution, adjudication, education or treatment, public information, and licensing. These functions now exist in every State and locality but often fail to operate as a system because of insufficient coordination.
- Financial self-sufficiency: assessing fines, court costs, and treatment fees so that convicted offenders defray program costs. Making those who create the problem pay for its solution is good policy, and funds obtained through fines and fees can be used to pay local governments for police, prosecutors, treatment programs, and other costs related to drunk driving.
- Citizen support: generating community support for comprehensive programs, thus providing a political base for increased countermeasure activity. As shown recently in New York, Maryland, West Virginia, California, and elsewhere, an organized and informed body of individuals can bring about major changes in State laws and alcohol programs.

- Long-term prevention: efforts to change societal attitudes toward drinking and driving through long-term prevention programs. General deterrence programs offer the promise of controlling the present drinking driver population, but in the long run, legal measures will need to be supplemented by new behavior norms that make drunk driving socially unacceptable behavior. This will require more effective education programs in schools and communities so that responsible attitudes toward alcohol use and driving can be developed in our young population.

Police Traffic Services

These funds provide for upgrading the quality of traffic crash investigations and reports conducted by State and local law enforcement agencies, improved selective enforcement techniques for recently enacted child passenger safety and safety belt laws and other types of hazardous traffic violations contributing to crashes and vehicle occupant injuries. Funding also supports highway safety educational programs for police, prosecutors, judges, and the public, and for adoption and implementation of both the Driver License Compact and the Nonresident Violator Compact.

Emergency Medical Services (EMS)

Provides for EMS system component development including trauma care, on both the State and community level and covers training for first responders, Emergency Medical Technicians (EMTs - all levels), communications, vehicles, medical equipment, administration, and evaluation along with medical direction and registration of EMTs. The program assures the application of proven life-saving, life-sustaining and disability reducing practices at accident scenes.

Occupant Protection

These funds will assist the States in increasing public awareness of the probability of being involved in a crash; increasing public understanding of the benefits of using both active and passive restraints; and providing information and assistance concerning specific actions to increase safety belt usage and child restraint usage. Emphasis will be placed on the development and implementation of State and local comprehensive programs, including public information and education, incentives and use requirements. Such programs will involve the corporate sector as well as governmental agencies and the general public.

Traffic Records

Funds will help establish adequate and readily accessible record systems and data retrieval techniques to permit problem identification and analysis by the States so that safety programs operate more effectively and efficiently and results can be measured.

State/Federal Relationships

NHTSA's major objectives in State/Federal program management during FY 1987 will be directed toward resolving problems facing Federal and State officials in identifying, developing, and implementing programs and projects in these program areas identified as having the highest potential for impact. Specific objectives involve the need to:

- Exchange and disseminate promising findings of highway safety research and demonstration efforts as a means of providing effective countermeasure solutions to identified highway safety problems.
- Provide technical assistance to States in program development and in the assessment and evaluation of results.

Program Accomplishments

Prior to the 402 program, there was no overall coordination of traffic safety activities at the State level, no detailed analysis of the traffic safety problem, and no systematic plan for implementing solutions to that problem.

With the advent of the 402 program, however, much has changed. States now have a highway safety agency which is responsible for providing coordination and guidance for all highway safety programs. Each State identifies and analyzes its crash problems, develops solutions for those problems, and then evaluates the results of its efforts

Federal funding of the Safety Formula Grant program has achieved an impact far beyond the relatively small investment of 402 funds. The Federal 402 funds frequently provide the incremental assistance necessary to bring State and local efforts to the critical commitment necessary to make an impact on the traffic safety problem and produce a real savings of lives. Prudent use of 402 funds by the States has had a catalytic or leveraging effect on State and locally funded traffic safety projects. In many instances, project activities are continued under State and local funding following the initial expenditures of 402 funds.

Some of the improvements made in key program areas are highlighted below:

Alcohol Programs

- Twenty-one States administratively suspend or revoke a driver's license prior to court appearance for a DWI offense. These States provide full legal protection under "due process" provisions.
- During 1985 State legislative sessions 1338 Bills were considered in 49 States to strengthen various aspects of the States' DWI statutes. As of mid-July, 1985, 223 new laws have been enacted in 45 States.
- Twenty-four States had 21 drinking age laws in 1984. As of January 22, 1986, 37 States have an age 21 purchase or public possession statute.
- All States now require offenders to help defray the costs for part or all of the rehabilitation and alcohol education portion of the drunk driver control system.
- Nationwide arrests for driving while intoxicated (DWI) increased from about 600,000 in 1970 to over 2,000,000 in 1984
- All States now have established at least 0.10 BAC (blood alcohol concentration) as the "presumptive" or illegal per se level for driving while intoxicated/under the influence.
- Thirty-four States require some form of alcohol education or rehabilitation for driver license restoration following a DWI conviction.

- Twenty-four States and Puerto Rico have adopted Preliminary Breath Test (PBT) laws.
- Forty-three States and the District of Columbia have adopted an illegal per se law making it illegal to operate a motor vehicle with a blood alcohol at or above a specific level.
- Over 5000 State and local criminal justice and alcohol countermeasure personnel received some type of alcohol countermeasures training in FY 1984/85.
- Forty-five States now give the courts ready access to driver history files for pre-sentence investigation.
- Forty-two States have laws mandating jail or community service for those convicted of a second offense for DWI.

Safety Belt and Child Safety Seat Usage Programs

- The most recent observation data indicate that safety belt use has increased to about 23 percent by the end of of 1985, from about 11 percent in 1982. Child safety seat use is now 56 percent, more than triple the levels of 1979.
- All 50 States and the District of Columbia have enacted laws requiring child safety seat use.
- In July 1984, the State of New York passed the first State mandatory safety belt law for adults. The law became effective January 1, 1985. The State reports that occupant fatalities in the first 9 months of 1985 were down by 17 percent when compared with the average January through September death toll for the pevious 5 years. There were 795 occupant fatalities in 1985, compared with the 5 year average of 960, a saving of 165 lives.
- After New York passed its safety belt use law, 15 States and the District of Columbia have passed similar laws. Laws are in effect in 13 States and the District of Columbia as of January 1, 1986.
- Fifty States and the District of Columbia have completed comprehensive planning for safety belt and child safety seat programs.
- Thirty-six States are actively stimulating community-based programs for safety belt use. Well over 100 communities currently have programs in operation, and many more are being planned. Such community programs have resulted in significant increases in belt use even in non-mandatory belt use law States. Jackson, MS, for example has increased safety belt usage from 6 percent to 37 percent and decreased fatalities from 40 in 1982 to 20 in 1981.
- Over 2400 corporate organizations use materials developed by NHTSA in their safety belt projects and campaigns.
- Participating employers with comprehensive safety belt programs (those that include a strong commitment by management, an enforced use policy, promotional activities, incentives and evaluation), show significant increases in belt use by their employees.

- Several trade associations and professional societies are actively encouraging, promoting and distributing program data to stimulate and expand safety belt activities among their member companies.

- Several Executive Departments now have mandatory safety belt usage policies, coupled with some training and awareness activities.

Emergency Medical Services (EMS) Programs

- A comprehensive trauma system integrating prehospital and hospital components, designation of trauma centers, improving transportation of trauma patients, and evaluating performance of the system throught trauma registries has been established in Dade County, Florida.

  Two States, Oregan and Pennsylvania, aided in the development of their prehospital systems by 402 funds, have taken initiative in passing comprehensive EMS legislation which includes the designation of trauma centers statewide.

  Florida and New Mexico have been supported in programs designed to increase professional and public awareness of injury prevention through safety belt use and driving alcohol free. Based upon this experience, nearly one-third of the State EMS offices have promoted injury prevention in their State EMS newletters, and many are initiating structured programs to integrate them with highway safety task forces in their States.

- Because of the strong credibility which EMT's have in their communities, prehospital personnel are being included in community highway safety task forces and commissions, and are being used as resources on speaker's bureaus and injury prevention outreach programs in communities in New Jersey, Massachusetts, Maine, New Mexico, Florida, Oregon, Wisconsin, Indiana, Michigan, Maryland, Virginia, Georgia, and Puerto Rico.

- The responsibility for developing EMS voluntary standards is being transferred from the Federal role to professionals in the EMS field, as well as State and local government personnel who are responsible for licensing, certification, and equipment specifications in their locales. This voluntary standards setting process will be conducted through a newly developed ASTM Committee on EMS.

- Many States have recognized that the skills and knowledge needed in responding to medical emergencies require periodic reinforcement in order to maintain minimal proficiency. The normal vehicle for accomplishing this objective has been in-service education. Therefore, programs have been developed using video-taped educational aids and playback equipment which is then distributed regionally within a State. The program entails no additional manpower, no tuition or instructor training, and will extend in-service training to a large percent of the EMS providers.

- Trauma caused by motor vehicle crashes is the major cause of death in those under the age of 40. Because of this, training programs have been developed in the States, directed at the emergency medical technician (EMT) who does not deal with trauma on a day-to-day basis. The EMT must evaluate and manage the seriously injured patient during the critical time period immediately after injury. The emphasis of the training is on trauma care based on previous EMT training. The trauma training program is intended to be presented as a continuing education course, and it does not represent a separate level of certification.

Traffic Records Programs

- A computerized Traffic Accident Records System (TARS) is maintained in the State of Arkansas. The system contains accident records and statistics with 50 thousand accident records entered annually. The TARS system provides the capability for the State of Arkansas to analyze over 50 thousand accident records involving alcohol and pedestrians. The State can also identify high accident locations and can provide special accident data reports.

- Each unit of State and local government in California has its own data system, but the aggregate of these systems does not form a statewide system. In 1972, the California Highway Patrol established a Statewide Integrated Traffic Records System (SWITRS) compiling a record of every reported collision in the State. California is now undertaking improvements in SWITRS as well as improvements in driver record access, automation of local manual systems, and driver record tracking. The SWITRS is capable of producing tabulations on alcohol related crashes. In the last two years, California has modified SWITRS software to provide linkage between the accident and roadway files. This provides the capability to identify high accident locations. In addition, the State has added many local data systems to the statewide data network which provides faster access to accident, driver and roadway data bases.

- On the State level, Illinois maintains accident data in 3 files, the Accident File, the Roadway File, and the Drivers License File. Identification of high crash locations on local roads and city streets is used for selection of patrol sites for law enforcement. Local records systems vary in sophistication and computerization; however, Illinois is improving its traffic records by using local liaison staff to work with local communities in creating better systems. Illinois is also developing: a computerized high-accident location identification system; a data base to identify a sub-population of problem drivers, estimated at 700,000 statewide; and a court liaison unit to improve court reporting. The State has been able to obtain data which identifies individuals with poor driving records, accident involvement and driver improvement actions. The information from this system is used in pre-sentence investigations and other driver improvement actions. The system also recomputes a person's violation point level each time a new action is entered. If a predetermined level is reached, the driver's complete history and record is printed for review.

- Maryland's traffic records system contains many of the components of an automated, coordinated and comprehensive system. The State is improving local traffic records systems with micro computers, and is taking steps to upgrade the statewide system. Over 50 microcomputers have been added to the Maryland Automated Accident Reporting System (MAARS). The purpose of this system is to reduce the amount of manual paperwork done throughout the State. It is estimated that the new hardware has reduced the paper work effort over 15 %. The statewide system has been improved by linking the accident and roadway data files. This system pinpoints high accident locations which are analyzed to determine appropriate countermeasures.

- New Jersey uses its traffic records system to identify specific problems, relying most heavily on the accident records maintained by the State DOT. New Jersey has a drunk driver data file derived from State Police fatal accident reports. New Jersey fatal files provide State evaluators with data for mapping high accident locations, identification of the "drunk driver profile" and imput to the NHTSA Fatal Accident Reporting System (FARS).

Motorcycle Safety Programs

- The safety benefits of helmet usage and increased conspicuity of motorcyclists have been well established. Research has identified techniques to promote voluntary helmet usage and to increase the use of conspicuity enhancement techniques of motorcyclists. As of January 22, 1986, 19 States and the District of Columbia and Puerto Rico require all riders to wear motorcycle helmets. Twenty-four States require helmet use under 18 years of age.

- The improved motorcycle operator licensing system developed by NHTSA has shown a significant reduction in motorcycle accidents. The effectiveness of this improved licensing system was documented in a 5-year research project conducted by the California Department of Motor Vehicles under contract to NHTSA. The research, which involved more than 40,000 licensed applicants, found that persons subject to the improved licensing system had a 15-21 percent lower accident rate than did those persons subject to the standard California motorcycle operator licensing system. A comprehensive volume of materials describing the state-of-the-art in motorcycle operator licensing has been distributed to State license agencies. As of December 31, 1985, 37 States have adopted the Motorcycle Operators Manual. Of this number, 29 States have adopted the knowledge test based on the manual. Also, 17 States have adopted the rider skills test. Emphasis in this program area will be on promoting adoption of the improved system by the States and providing technical assistance and information to the States which implement the system.

- The State of New Mexico provides rider education courses on a statewide basis. A permanent training site is operated in Albuquerque, in addition to several small fixed sites in lesser population centers. Also, a portable training facility travels throughout the State to bring rider education to remote low population density areas.

- Wisconsin, concerned with the high proportion of motorcycle accidents involving the use of alcohol, has produced and made available for national distribution a 25-minute film documenting the rapid degradation of motorcycle rider skills caused by increasing amounts of alcohol.

- During the past decade several highly effective and well documented countermeasures for operator licensing, rider training and rider protection have been developed in motorcycle safety. Very heavy emphasis will be placed on communicating this technology to the States and other users and providing assistance to the users in countermeasure implementation.

Police Traffic Services (PTS) Programs

- The effectiveness of selective traffic enforcement programs (STEP) has been demonstrated and documented. An example of effectiveness reported by the Auburn, Alabama Police Department STEP was a decrease in DUI related crashes of 54%, as a result of a 1983/84, 402 funded program. Presently STEP is standard operating procedure for all State and most large city and county traffic enforcement agencies nationwide.

- Through a 1984 402 funded Accident Reconstructionists Training Program, the Lexington-Fayette Urban County Division of Police, Lexington Kentucky reported increasing their alcohol related crash felony convictions for 71% to 100%.

- State Police and Highwway Patrol agencies have joined together in a coordinated special STEP campaign addressing highway safety problems on the nationss major highway systems. Their focus has been on excessive speed alcohol enforcement and safety belt education . This activity, called Operation CARE, is supported by 40 States' Office of Highway Safety using 402 funds.

- The Wyoming Highway Patrol used 402 funds to implement a computerized management information system. Complete data analysis is now available and used to deploy Wyoming's meager highway patrol resources on a selected basis to those high accident/violation locations.

Obligation Limitation

An obligation limitation of $110.0 million is being requested for the program in FY 1987, the same as the level of contract authority sought under proposed legislation.

Conclusion

The Safety Formula Grant (Section 402) program has done much to channel State spending into traffic safety programs which have been most effective in reducing accidents, injuries, and fatalities. It has shown growth in the quantity and quality of State traffic safety programs initiated; catalyzed States efforts in dealing with priority traffic safety programs; and influenced State and local funding for traffic safety programs. Federal assistance will continue to focus on those problem areas that offer the highest impact, cost effectiveness and efficiency. In keeping with the intent of the Highway Safety Act, 402 funds provide the catalyst or leverage to States and communities by assisting in starting new safety activities with continuation of these efforts through State and local resources.

Grant Administration

The following table provides a comparison of the 1986 and 1987 levels of funding for Grant Administration.

The resource levels shown below also appear in the justifications for the Highway Safety Programs, Office of the Administrator, and General Administration budget activities under the Operations and Research Appropriation.

Analysis of Changes in Grant Administration Requirements
FY 1986 and 1987
(Dollars in Thousands)

	FY 1986 ENACTED		FY 1986 AFTER SEQUESTERING		FY 1987 REQUEST	
	STAFFING	DOLLARS	STAFFING	DOLLARS	STAFFING	DOLLARS
HIGHWAY SAFETY PROGRAMS						
Permanent Positions	80	$3,675	80	$3,675	80	$3,575
Travel		76		76		76
TOTAL, HIGHWAY SAFETY PROGRAMS		3,751		3,751		$3,651
OFFICE OF THE ADMINISTRATOR						
Permanent Positions	7	295	7	295	7	295
Travel		7		7		7
TOTAL, OFFICE OF THE ADMINISTRATOR		302		302		302
GENERAL ADMINISTRATION						
Permanent Positions	11	416	11	416	11	416
Travel		7		7		7
Operating Expenses		524		309		524
TOTAL, GENERAL ADMINISTRATION		947		732		947
Summary						
Permanent Positions	98	4,386	98	4,386	98	4,286
Travel		90		90		90
Operating Expenses		524		309		524
TOTAL		$5,000		$4,785		$4,900

Alcohol Safety Incentive Grants Under 23 U.S.C. 408
(Dollars in Thousands)

Program Level:	FY 1985 Approp.	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
Incentive Grants	$ 6,287	$13,400	$13,400	$14,150
Alcohol Special Grants	-0-	$ 1,000	$ 1,000	$ 250
Total Obligations	$ 6,287	$14,400	$14,400	$14,400
Obligation Limitation	($50,000)	($28,800)	$27,562	($17,900)
Budget Authority	$50,000	-0-	-0-	-0-

Funding for Alcohol Safety Incentive Grants is authorized by the Alcohol Traffic Safety Programs Act of 1982 (P.L. 97-364) which amends Chapter 4 of Title 23, U.S. Code by adding a new Section 408. These provisions provide incentive grants to States that implement (by legislation, regulations, or otherwise) effective programs to reduce the drunk driving problem. Whether a State qualifies for a basic grant in any fiscal year will be determined by its compliance with minimum criteria specified in the statute. Any State that complies with the minimum criteria and additional criteria which the Secretary of Transportation issued by regulation is eligible for a supplementary grant. A State may also qualify for a special grant if it implements penalties for driving under the influence. The States may use the funds they receive under this program only for alcohol or controlled substance traffic safety purposes. Projects in other highway safety areas, eligible for funding under the regular Section 402 program, are not eligible for funding under this Incentive Grant Program unless they are related to the alcohol traffic safety program.

Introduction and Background

The 408 Alcohol Traffic Safety Incentive Grant Legislation provided additional funds to assist and reward those States that take effective steps toward establishing comprehensive programs aimed at deterring the drunk driver. The Alcohol Incentive Grant Program is directed at this goal by providing for an increased level of effort. Section 408 funds can be used to supplement existing program funding but not as a substitute for existing funds and are intended to act as a catalyst for the States/communities to expand their efforts over and above the base level so that permanent results can accrue. The Incentive Grant Program combined with the Formula Grant Program under Section 402 gives States the opportunity to make substantial progress in reducing drunk driving. The Alcohol Incentive Grant Program also enables the States to implement changes recommended by their Alcohol Task Forces and the Presidential Commission on Drunk Driving.

The Act establishes a two tier grant system as an incentive for States to implement effective programs to reduce the drunk driving problem. To qualify for a basic incentive grant of 30 percent of its fiscal year 1983 23 U.S.C. 402 apportionment, a State must have in place and implement or adopt and implement the following requirements.

1. The prompt suspension of the driver's license for a period not less than 90 days in the case of a first offender DWI, and not less than 1-year in the case of any repeat offender DWI or anyone who refuses to submit to a chemical test under a State's implied consent statute.

2. A mandatory sentence, which shall not be subject to suspension or probation, of (1) imprisonment for not less than 48 consecutive hours, or (2) not less than 10 days of community service of any person convicted of driving while intoxicated more than once in any 5-year period.

3. Provide that any person with a blood alcohol concentration of 0.10 percent or greater when driving a motor vehicle shall be deemed to be driving while intoxicated.

4. Provide for increased efforts or resources dedicated to the enforcement of alcohol-related traffic laws and increased efforts to inform the public of such enforcement.

To qualify for a supplemental grant of 20 percent of its fiscal year 1983 Title 23 U.S.C. 402 apportionment, a State must implement a license suspension system in which the average time from date of arrest to suspension of a license does not exceed an average of 45 days, and implement 8 of the following 22 requirements.

1. Establishment of 21 years of age as the minimum age for drinking any alcoholic beverage.

2. Coordination of State alcohol highway safety programs.

3. Rehabilitation and treatment programs for persons arrested and convicted of alcohol-related traffic offenses.

4. Establishment of State task forces of governmental and non-governmental leaders to increase awareness of the problem, to apply more effectively drunk driving laws, and to involve governmental and private sector leaders in programs attacking the drunk driving problem.

5. A statewide driver record system readily accessible to the courts and the public which can identify drivers repeatedly convicted of drunk driving.

6. Establishment in each major political subdivision of a locally coordinated alcohol traffic safety program, which involves enforcement, adjudication, licensing, public information, education, prevention, rehabilitation and treatment, and management and program evaluation.

7. Prevention and long-term education programs on drunk driving.

8. Authorization for courts to conduct pre or post-sentence screening of convicted drunk drivers.

9. Development and implementation of a statewide evaluation system to assure program quality and effectiveness.

10. Establishment of a plan for achieving self-sufficiency for the State's total alcohol traffic safety program.

11. Use of roadside sobriety checks as part of a comprehensive alcohol safety enforcement program.

12. Establishment of programs to encourage citizen reporting of alcohol-related traffic offenses to the police.

13. Establishment of a 0.08 percent blood alcohol concentration as presumptive evidence of driving while under the influence of alcohol.

14. Adoption of a one-license/one-record policy. In addition, States fully participate in the National Driver Register and the Driver License Compact.

15. Authorization for the use of a preliminary breath test where there is probable cause to suspect a driver is impaired.

16. Limitations on plea-bargaining in alcohol-related offenses.

17. Provide victim assistance and victim restitution programs and require the use of a victim impact statement prior to sentencing in all cases where death or serious injury results from an alcohol-related traffic offense.

18. Mandatory impoundment or confiscation of license plate/tags of any vehicle operated by an individual whose license has been suspended or revoked for an alcohol-related offense.

19. Enactment of legislation or regulations authorizing the arresting officer to determine the type of chemical test to be used to measure intoxication and to authorize the arresting officer to require more than one chemical test.

20. Establishment of liability against any person who serves alcoholic beverages to an individual who is visibly intoxicated.

21. Use of innovative programs.

22. Establishment of rehabilitation and treatment programs for those convicted of driving while under the influence of a controlled susbstance or for the establishment of research programs to develop effective means of detecting use of controlled substances by drivers.

To qualify for a supplemental grant of 20 percent of its fiscal year 1983 Title 23 U.S.C. 402 apportionment, a State must: implement a license suspension system in which the average time from date of arrest to suspension of a license does not exceed 45 days; and implement 4 of the 22 requirements specified above.

To qualify for a supplemental grant for a second and a third year, a State must:

- Show that it has increased its performance for each of the requirements it adopted in the prior years,
- Adopt two more requirements from the 22 for each subsequent year, except that a State does not have to implement more than a total of 15 criteria.

P.L. 98-363, the minimum drinking age legislation enacted in July 1984, provided that States could also qualify for a special grant, 5 percent of the amount apportioned to such State for fiscal year 1984 under Section 402 and 408. This special grant is in addition to the basic or supplemental alcohol traffic safety incentive grant program. A State is eligible for a special grant if it enacts or has a statute which provides that:

1. Any person convicted of a first violation of driving under the influence of alcohol shall receive
    - a. a mandatory license suspension for a period of not less than 90 days; and either
        - (1) an assignment of 100 hours of community service; or
        - (2) a minimum sentence of imprisonment for 48 consecutive hours.
2. Any person convicted of a second violation of driving while under the influence of alcohol within 5 years after a conviction for the same offense, shall receive a mandatory minimum sentence of imprisonment for 10 days and license revocation for not less than 1 year.
3. Any person convicted of a third or subsequent violation of driving under the influence of alcohol within 5 years after a prior conviction of the same offense shall:
    - (a) receive a mandatory minimum sentence for 120 days; and
    - (b) have his license revoked for not less than 3 years; and
4. Any person convicted of driving with a suspended or revoked license, or in violation of a restriction due to driving under the influence of an alcohol conviction, shall receive a mandatory minimum sentence of imprisonment for at least 30 days, and shall upon release from imprisonment, receive an additional period of license suspension or revocation of not less than the period of suspension or revocation remaining in effect at the time of commission of the offense of driving with a suspended or revoked license.

The level of funding for FY 1987 is based on a revised estimate that up to 30 States will qualify for the Basic and Supplemental Alcohol Traffic Safety Incentive Grant Funds through FY 1987. A funding limitation of $14.0 million is required for FY 1987. This will provide funds for 14 States to qualify for the Basic and Supplemental through FY 1987, plus cover outlays for the States that have qualified in prior years. It also provides $.25 million for States that qualify for the Special Grant program.

Our projection for FY 1986 estimated that 38 States would qualify in the first 3 years of the program. This projection was based upon the best information we had before legislation was enacted. The Final Rule for the 408 program became effective April 1, 1983. In the 3 years before the Rule became effective, over 1,500 pieces of legislation were introduced in the 50 States and over 167 major pieces of legislation were enacted. Unfortunately, most of the legislation enacted did not qualify these States for a grant. Since enactment of the rule, the States have found it difficult to legislate changes which would qualify them because many of their earlier efforts were composite packages of legislation that focused on various alcohol-related deficiencies. The legislators now want to assess the impact of previous changes before making further amendments.

State legislators placed emphasis on age 21 legislation and mandatory safety belt legislation in 1985; consequently, little progress was made on qualifying for the Alcohol Traffic Safety Incentive Grant Funds. This revised estimate is based upon conversations and meetings with Governors' Representatives and State legislators in States actively pursuing qualification.

The requirements of the special grant are more severe than the mandatory penalties of the original Section 408 criteria. Thus, we believe that no more than 20 percent of the States may qualify for this special grant.

Obligation Limitation

An obligation limitation of $17.9 million will be proposed for this program in 1987 under the language of the appropriation for Highway Traffic Safety Grants.

HIGHWAY SAFETY EDUCATION AND INFORMATION

This program was authorized under Section 209 of the Surface Transportation Assistance Act of 1978, as amended. The Act directed the Secretary of Transportation to carry out six pilot projects, designed through the use of television, radio and other media, to develop and evaluate techniques, methods and practices to achieve maximum measurable effectiveness in reducing traffic accidents and deaths. Funds of $6 million were authorized for this purpose. An additional amount of $10 million was authorized to carry out a nationwide program to demonstrate the results of the pilot projects.

Obligations for the pilot phase of the Program are limited to $5 million cumulative under DOT Appropriation Acts. The appropriated level was reduced to $4.750 million pursuant to the application of rescission provisions of the Deficit Reduction Act of 1985.

Available funding has been used for the award of contracts as follows:

o	Drunk Driving Project	$1,063
o	Highway Safety Mass Media Youth Project	$1,024
o	Safety Belt/Child Safety Seat Usage Demonstration Project	$ 947
o	Public Education and Information Demonstration Project for Emergency Medical Services	$ 929
o	Public Education Demonstration Project by Law Enforcement	$ 787
	TOTAL	$4,750

The predominant portion of the contracts were awarded in FY 1985 with the completion dates scheduled for late CY 1986. No change in the cumulative obligation limitation of $4.750 million is being requested except to extend its availability through FY 1987.

HIGHWAY TRAFFIC SAFETY GRANTS
APPROPRIATION TO LIQUIDATE CONTRACT AUTHORITY

Appropriation requested under this heading is required to liquidate obligations incurred pursuant to contract authorizations financed from the Highway Trust Fund. Encompassed programs are authorized under Sections 402, 406 and 408 of the Highway Safety Act and Section 209 of the Surface Transportation Assistance Act.

The following table provides a comparison of liquidating appropriation requirements for 1986 and 1987, and the relation of the appropriation to contract authorizations contained in enabling legislation.

The decrease in appropriation requirements in 1987 is related, primarily, to the lower obligation level sought in FY 1987.

STATUS OF UNFUNDED CONTRACT AUTHORITY
(in thousands)

	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Request
Unfunded balance, start of year	$308,770	$308,770	[illegible]
Contract authority:			
Safety Formula Grants (402)	132,000	126,324	110,000
Appropriation to liquidate contract authority	-145,000	-141,000	-118,000
Unfunded balance lapsing	---		-36,753
Rescission per 99 Stat. 353	-293	-293	---
Unfunded balance, end of year	[illegible]	[illegible]	[illegible]

U.S. Department of
Transportation

BUDGET
ESTIMATES

FISCAL YEAR 1987

OFFICE OF THE INSPECTOR GENERAL

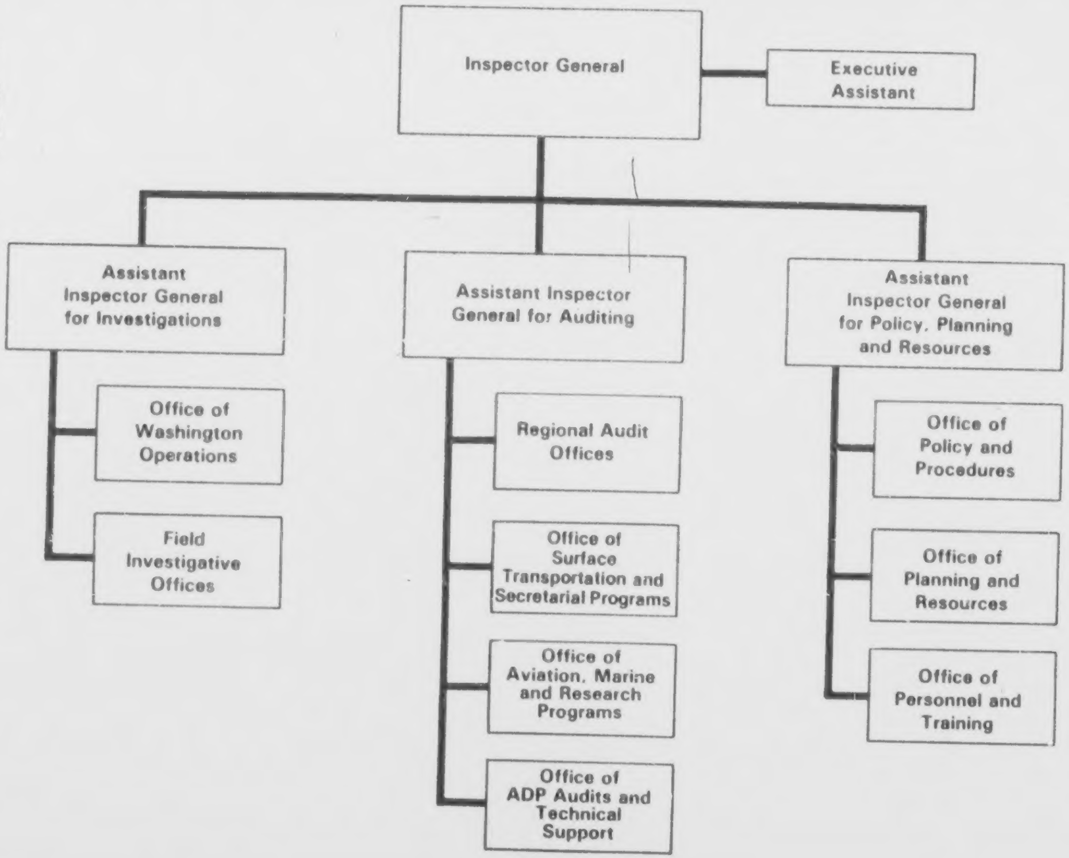
SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

Fiscal Year 1987 Budget Estimates
Department of Transportation
Office of Inspector General

TABLE OF CONTENTS

ITEM	PAGE
Organizational Chart	1
Language	2
Program and Financing Schedule	3
Summary of Budget Authorities and Outlays	4
Program and Performance	5
Object Classification Schedule	6
Personnel Summary	7
Summary Statement	8
Justification	11
Reduction Schedules	25

Office of Inspector General


Inspector General
Executive Assistant
Assistant Inspector General for Investigations
Office of Washington Operations
Field Investigative Offices
Assistant Inspector General for Auditing
Regional Audit Offices
Office of Surface Transportation and Secretarial Programs
Office of Aviation, Marine and Research Programs
Office of ADP Audits and Technical Support
Assistant Inspector General for Policy, Planning and Resources
Office of Policy and Procedures
Office of Planning and Resources
Office of Personnel and Training

OFFICE OF INSPECTOR GENERAL

FEDERAL FUNDS

General and special funds:

Salaries and Expenses

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Act of 1978, [$27,600,000] $27,630,000. (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190.)

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL
Salaries and Expenses

Program and Financing (in thousands of dollars)

Identification code 69-0130-0-1-407	19 85 actual	19 86 estimate	19 87 estimate
Program by activities:			
10.00 Total obligations	26,652	27,600	27,630
Financing:			
25.00 Unobligated balance lapsing	1,248	--	--
Budget Authority:			
40.00 Appropriation	27,900	27,600	27,630
Relation of Obligations to Outlays:			
71.00 Obligations incurred, net	26,652	27,600	27,630
72.40 Obligated balance, start of year	8,134	3,679	4,379
74.40 Obligated balance, end of year	-3,679	-4,379	-5,109
77.00 Adjustments in expired accounts	-3,936	--	--
90.00 Outlays	27,171	26,900	26,900
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DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL
Summary of Budget Authority and Outlays
(in thousands of dollars)

	1985 Act.	1986 Est.	1987 Est.
Enacted/requested:			
Budget Authority	27,900	27,600	27,630
Outlays	27,171	26,900	26,900
Reduction pursuant to P.L. 99-177:			
Budget Authority		- 1,187	
Outlays		- 1,035	- 152
Total:			
Budget Authority	27,900	26,413	27,630
Outlay	27,171	25,865	26,748

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

Salaries and Expenses
Program and Performance

This appropriation finances the cost of conducting and supervising audits and investigations relating to the programs and operations of the Department to promote economy, efficiency, and effectiveness, and to prevent and detect fraud and abuse in such programs and operations. It covers Headquarters and field operations, general management, and administration.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

Object Classification (in thousands of dollars)

Identification code 69-0130-0-1-407		1985 actual	1986 estimate	1987 estimate
Personnel Compensation				
11.1	Full-time permanent	16,742	17,255	17,196
11.3	Other than full-time permanent	273	280	280
11.5	Other personnel compensation	180	330	180
	Total personnel compensation	17,195	17,865	17,656
12.1	Personnel benefits: Civilian	2,397	2,550	2,579
13.0	Benefits for former personnel	14	20	20
21.0	Travel and transportation of persons	1,743	1,750	1,700
22.0	Transportation of things	39	50	50
23.1	Standard level user charges	1,152	1,195	1,500
23.2	Rental payments to others	33	33	33
23.3	Communications, utilities, and miscellaneous charges	326	400	400
24.0	Printing and reproduction	82	90	90
25.0	Other services	2,959	3,192	3,267
26.0	Supplies and materials	126	152	155
31.0	Equipment	586	300	177
42.0	Insurance claims and Indemnities	---	3	3
99.9	Total obligations	26,652	27,600	27,630
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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

Salaries and Expenses
Personnel Summary

Identification code 69-0130-0-1-407	19 85 actual	19 86 estimate	19 87 estimate
Total number of full-time permanent positions	474	471	459
Total compensable workyears:			
Full-time equivalent employment	469	466	462
Full-time equivalent of overtime and holiday hours	1	3	3
Average GS Grade	11.34	11.37	11.40
Average ES Salary	67,200	67,900	67,900
Average GS Salary	37,200	37,600	38,000
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DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY
OFFICE OF INSPECTOR GENERAL

Summary Statement

Salaries and Expenses - 69-0130-0-1-407

DESCRIPTION

The Inspector General Act of 1978 (P.L. 95-452) provided for the establishment of an organization to be independent and objective in conducting and supervising audits and investigations designed to: (1) promote efficiency and effectiveness and prevent fraud, waste, and abuse in Departmental programs and operations; and (2) to provide a means of keeping the Secretary of Transportation and Congress fully and currently informed of problems and deficiencies in the administration of such programs and operations.

OBJECTIVES

The Inspector General Act calls for the Office of Inspector General (OIG) to conduct, supervise, and coordinate audits and investigations relating to the programs and operations of the Department. The OIG is required to coordinate relationships between the Department of Transportation (DOT) and other Federal agencies and state and local governments with respect to their audit and investigative responsibilities.

For the current and budget year, emphasis will be placed on providing support for system improvements. Through our audits we will be looking at various programs for systemic issues which will result in greater benefits to DOT-funded programs. These efforts will be targeted on transportation funds usage to obtain the maximum return on the Federal dollar spent. We will also be looking into management issues and statutory requirements with a view to eliminating unnecessary activities. We will be instituting an Inspection Program during FY 1986 designed to provide management with a review of the operations of a facility. Automatic Data Processing (ADP) auditing and microcomputer tools and techniques are playing an increasing role in OIG operations with very good results. We now have in-house engineering support which has led to greater indepth coverage in addition to providing much needed expertise in the highly technical areas of DOT-funded construction projects.

The most significant investigative efforts continue to be the detection and prevention of bid rigging activity in DOT-funded construction programs. Of concern is the recurrence of bid rigging activity in some states. Although our goal remains to concentrate our investigative resources in the bid rigging area, we have also made substantial progress in developing fraud preventive measures, working with DOT management in obtaining increased administrative sanctions in response to employee cases, and increasing our efforts on Disadvantaged Business Enterprises (DBE) investigations.

ACCOMPLISHMENTS

During FY 1985, the OIG issued 1,755 audit reports and made recommendations to improve the economy, efficiency, and effectiveness of DOT programs and operations with a potential impact of $986 million and questioned the eligibility of $57 million of costs. Audit findings were resolved in 708 reports during this period. The resolution of these reports resulted in measurable audit savings of $899 million.

During this period, the OIG opened 240 reactive investigative cases and closed 202 cases. Investigative and prosecutive efforts during FY 1985 resulted in 99 indictments, 72 convictions, $4.8 million in fines and court-ordered recoveries, 145 administrative actions, and 57 years in prison sentences.

FUTURE PROBLEMS

The major future problem will involve the adjustments necessary for this office to manage within the constraints imposed by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

SUMMARY OF 1986 APPROPRIATION
($ in thousands)

1986 Appropriation	$ 27,600
Sequestered per P.L. 99-177	- 1,187
Revised 1986 budget authority	26,413
Termination of the Essential Air Service (EAS) Program	- 167
Adjustment for Merit Pay (two payouts in FY 1986)	- 150
Restoration of Permanent Change of Station Moves	+ 280
Restoration of Contract Audit Support	+ 300
Restoration of Training Program	+ 122
Increased cost of leased space	+ 305
Restoration of equipment	+ 110
Within grades and promotions	+ 260
Restoration of space alterations, equipment maintenance, leases, printing, etc.	+ 157
Fiscal Year 1987 request	$ 27,630

Staffing Summary

	1985	1986	1987
Positions	474	471	459
End of Year Full-time Permanent	450	457	450
Average employment	469	466	462
1986 Authorized Positions			471
Elimination of the EAS Program			- 12
1987 Request			459

In order to adjust to the constraints imposed by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177), the OIG has placed moritoriums on Permanent Change of Station moves, equipment buys, space alterations, maintenance, and leases. Printing and training are being curtailed and contract audit work is being reduced to a lower level. The 1987 request restores these expenses to previous levels so that the moritoriums may be lifted and a more balanced program can be maintained.

In 1987, $818,000 from the appropriation will finance services provided through the Office of the Secretary (OST) Working Capital Fund. Incremental details are being supplied to the Committee separately.

The OIG has $100,000 of engineering consultant services and no DOT advisory committees under its jurisdiction.

Summary Table ($ 000)

	FY 1985 Actual	FY 1986 Enacted	FY 1986 After Seques.	FY 1987 Estimate
Budget Authority	27,900	27,600	26,413	27,630

BUDGET JUSTIFICATION

This budget request reflects the elimination of the EAS audit function at the end of Fiscal Year 1987.

Audit operations are divided into Headquarters and field operations. The Headquarters audit operation is composed of program offices which correspond to the transportation modes and an ADP and Technical Support Office. Each Office Director is responsible for performing audits of programs and functional activities. Field audit offices are located in seven Federal regions. Regional audit offices perform program and operational audits resulting from known or indicated deficiencies at grantee locations and at Departmental entities within the regions. Regional audit offices are also responsible for the oversight of non-Federal audit groups and for audit and financial management services to Regional Administrators.

During the past year, Regions I, II, and III were consolidated into one region. The new regional office is located in Baltimore, Maryland with suboffices located in Boston, New York City, and Albany. This consolidation was undertaken to provide greater flexibility in the utilization of audit staff through greater centralized control and coordination and to eliminate overlapping geographical areas of responsibility.

Investigative operations are located in Washington and five field offices which are responsible for all investigations within their designated areas. The investigative function was also reorganized during the past year. The Washington Investigative Offices were restructured placing the Field Investigative Offices under the executive direction of the Deputy Inspector General for Investigations. In conjunction with this change, regional investigative offices were given greater latitude in opening and closing cases and making referrals to the Modal Administrations directly from the regions. These changes have streamlined our investigative organization and improved productivity.

We are implementing an Inspection Program in DOT in order to provide broader organizational oversight. The inspections provide greater coverage but with less depth of penetration than an audit. The inspections will be structured to encompass a quick review of a facility to provide management an assessment of the activity and to determine whether there may be areas of fraud, waste, or mismanagement. The inspections will be designed to focus both in administrative areas such as attendance and leave, travel vouchers, and use of government vehicles; and program areas such as staff utilization, accomplishment of workload, and productivity of resources. General management compliance with organizational directives may also be evaluated. A pilot test in two regions is underway.

The OIG assisted the Department in the ongoing implementation of the Federal Managers' Financial Integrity Act and the related OMB Circular A-123. We assisted in evaluating the results of vulnerability assessments, internal control reviews, and in preparing the Annual Report to the President and Congress. The OIG provided assistance to the President's

Council on Management Improvements, assessing the paper work requirements and developing standardized vulnerability assessments and internal control reviews.

The OIG also assisted in the development of governmentwide policies and procedures for implementing the Single Audit Act of 1984 and the related OMB Circular A-128. These policies and procedures will improve financial management and accountability in Federal financial assistance programs by establishing uniform audit requirements. We assisted in the development of the uniform cognizant agency audit guidelines that were issued in October 1985.

Much of the work of DOT involves engineering and technical skills. In response to a demonstrated need for audit and investigations in the technical areas of the Department, we continue to expand and improve our capability for timely and independent engineering support. In addition to the engineer presently assigned to our headquarters staff, we now have two engineering support service contracts. Short term details of in-house experts from the DOT Modal Administrations have also been used with good success. An example of an investigation that used this support involved the sampling and testing of precast concrete units that had been supplied by one manufacturer to a State highway agency over several years. The precast units were found to have a number of deficiencies of the type that would contribute to early deterioration and replacement. This information was used as grand jury evidence. The materials engineer that performed the work under contract was also used as an expert witness before the grand jury.

Another initiative which has significantly improved OIG capability is the OIG Intern Program. The Intern Program is an on-the-job training and developmental program for entry level employees (GS-5 and GS-7) in the audit, investigative, and administrative occupational areas. Interns are selected to work in specific offices. The internship is 2 years long and consists of assignments within the specific occupational area, rotational assignments to other Modal Administrations and within DOT, and selected training courses. When the interns successfully complete their internship, they are permanently assigned to an office and are eligible for promotion.

The Intern Program was designed to attract capable people at the entry level in order to provide a dynamic work force and a source of future managers. The program has helped locate and attract larger numbers of qualified women and minorities at the entry levels and to improve their representation in the OIG work force. Since the inception of the program in June 1983, the number of women and minorities has increased in entry level positions. I.e. of a total of 76 interns from June 1983 to present, 47 have been women and minorities. Representation of women and minorities increased in the work force from 33.8 percent to 38.8 percent.

For 1985, OIG expenditures totaled $28.7 million. During the same period, audit recoveries, fines, penalties, and other investigative cost avoidance totaled $811 million -- 28 times the amount spent. Savings of this magnitude should continue to be achieved in the future.

	1985	1986	1987
Permanent Positions	474	471	459
Audit	369	369	357
Investigative	72	71	71
Management Operations	16	16	16
Administrative and Technical Support	15	15	15
Transferred to RSPA	2 1/		
Average Employment 2/			
Full-Time Permanent	451	449	445
Total	461	458	454
Audit	361	357	353
Investigative	67	69	69
Management Operations	17	17	17
Administrative and Technical Support	16	15	15

1/ Two positions were transferred to the Research and Special Programs Administration.

2/ Excludes eight non-ceiling FTEs.

Audit Activities

The major portion of the audit resources for the current and budget year will be devoted to internal reviews of DOT programs and functions. The focus will be placed on major programs and activities, with a view to evaluating the effectiveness of Federal fund usage. Some areas of emphasis will be the National Airspace System, procurement and contracting, safety, internal control systems, and research and development.

The regional offices have completed a number of audits which address on a departmentwide basis policy or programmatic changes. The overall objectives in the conduct of these audits are to improve the effectiveness of the various programs and activities of the Department and correct underlying systemic problems contributing to the deficiencies.

For the past 5 years since the passage of the Inspector General Act and implementation of Attachment P, OMB Circular A-102 (Audit Requirements), the OIG has relied on recipients of DOT financial assistance to satisfy Federal financial and compliance audit requirements. The OIG role involves ensuring that an acceptable audit was performed by providing technical assistance and performing oversight.

The OIG has initiated three audits of Systems Engineering and Integration (SEI) activities. The first audit is to evaluate the adequacy of FAA's procedures to monitor the contractor's performance and determine the award fee. The second audit will evaluate the process for reimbursing SEI employees for certain relocation expenses. Thirdly, we are reviewing contract modifications to determine why they occurred and FAA's effectiveness in controlling cost increases.

During Fiscal Year 1985, we have made substantial advances in acquiring and productively using advanced ADP auditing and microcomputer tools and techniques. The Automatic Data Processing Audit and Technical Support Office was substantially augmented during this period. With the additional staff, we have been able to greatly increase our ADP audit coverage. Specifically, we have performed audits in the following areas:

- Application Controls Reviews (such as our current audit of Coast Guard's PMIS/JUMPS and scheduled audit of DOT's payroll system) will analyze surface and relative edit routines used by the application programs, and match common data elements in other automated files to test the validity of data, and select and analyze statistically valid samples of automated records to determine the timeliness and accuracy of information.

- General Controls Reviews (such as our audits of the Transportation Computer Center and planned audits of DOT's other computer centers) will perform detailed analyses of system software controls, including controls over the operating system, data base system, security system, etc.; develop standardized automated tools and techniques for performing system software controls audits throughout DOT; and perform analyses of computer environments, including computer performance measurement, configuration management, etc.

In addition, the ADP Technical Support staff provides technical assistance to auditors and investigators in Headquarters and regional offices by: extracting and analyzing automated information maintained on DOT's and other computer systems; providing consulting services to audit/investigative staff on technical ADP, telecommunications, and related concepts and issues; assisting ADP auditors in performing "high tech" ADP audits; and managing the OIG's Information Resources Management activities, including operation of the OIG's Management Information System.

We have greatly improved the availability of microcomputer resources for all our Headquarters and regional audit/investigative staff. With the recent installation of our GRiD Server (a multi-processor and multi-user computer system used to store and retrieve computerized files and print output results) we have established a very efficient and effective local area network for our offices to store large volumes of data and transfer information between one office and another and any other office on the network.

A certified meteorological consultant is assisting on the recently initiated President's Council on Integrity and Efficiency (PCIE) project involving weather surveillance and dissemination systems. The DOT/OIG has been assigned responsibility to chair this Governmentwide project, with the OIGs of the Departments of Commerce and Defense providing additional members for this joint effort. This audit involves evaluating selected major existing and proposed Federal weather systems, including selected aspects of the Next Generation Radar (NEXRAD). We have completed our field work on this joint PCIE effort and are currently finalizing several draft audit reports. The meteorological consultant has been very helpful in providing technical assistance. For example, he provided a wide range of meteorological advice to the audit staffs, and assisted the audit teams in developing a matrix which compared the proposed capabilities and functions of apparent duplicative Federal weather systems.

The following table illustrates the 1985, and estimated 1986 and 1987 audit activity by category. This chart is followed by a brief description of each category with a discussion of the anticipated level of projected effort.

Audit Activity	1985	1986	1987
Hotline Complaint Reviews (number)	36	45	45
Fraud Detection & Prevention Surveys (number)	4	4	4
Inspections	0	2	14
Reviews of Departmental Programs and Operations (No. of Reports)	100	105	105
Review of Regional Projects & Operations (No. of Reports)	193	200	200
Management S~~ervices~~ & Grant and Contract Audits (No. of Reports)	1,462	1,375	1,400

Audit work for FY 1987 will be directed to the following areas:

Hotline Complaint Reviews

This category of work represents the anticipated level of effort to be expended by audit staff at both field and Headquarters for activities necessary to review Hotline complaints referred for audit verification. The estimated staff requirement is 4 workyears. Hotline complaint reviews are generally accorded high priority and are addressed as quickly as possible.

Fraud Prevention and Detection Surveys

These surveys, conducted by joint audit and investigative teams are aimed at preventing and detecting fraud in historically vulnerable areas. The objective is to go beyond the identification of basic procedural weaknesses to the point of examining the extent, if any, of which these weaknesses may have been exploited. The level of effort projected for this area in 1987 is 3 workyears.

Inspections

The Inspection Program will be implemented in 1986 with pilot programs in Kansas City and Atlanta. The inspections will be structured to encompass a quick review of a facility to inform management of any problems. The inspection will focus on such areas as attendance, leave, travel vouchers, use of Government vehicles, staff utilization, accomplishment of workload, and productivity of resources. If the two pilot tests prove successful, more inspections will be planned for 1987. Four workyears are tentatively scheduled for this area for 1987.

Reviews of Departmental Programs and Operations

This category of audit effort represents the principal internal audit examination of the major programs and activities of the Department. It involves the evaluation of economy and efficiency of operations, compliance with laws and regulations, reasonableness, and accuracy of financial records and evaluation of program results. Some assignments may not include all these objectives.

In conjunction with internal audits, the OIG reviews internal control documentation and systems. Review is also made of the followup system to ensure management followup on audit recommendations and findings.

We plan to devote 88 workyears of effort to this audit area during FY 1987.

Review of Regional Operations

This category of audit effort represents the principal internal audit examination of regional operations of the Department. It involves the evaluation of economy and efficiency of operations, compliance with laws and regulations, reasonableness and accuracy of financial records, and program results.

In conjunction with internal audits, the OIG reviews internal control documentation and systems. Review is also made of the followup system to ensure management followup on audit recommendations and findings.

The principal grant oversight role is conducted in this work area. Efficiency, economy, and effectiveness audits are conducted of major grant recipients to determine if grantee management decisions are prudent and cost effective. This oversight is also designed to detect fraud, waste, or abuse in the administration of the grants and contracts funded by the Department.

It is expected our effort in this area will be 176 workyears in 1987.

Management Services and Grant Audits

This caption covers external audits of grants and contract related matters. Grant audit oversight is required in accordance with the Single Audit Act of 1984, OMB Circular A-128, and Cognizant Agency Audit Organization Guidelines. Work performed in support of the Maritime Administration and the Office of the Secretary (Air Carrier) subsidy programs is also included in this category. Contract related audit efforts include assistance to Departmental Contracting Officers (COs) by review and analysis of contract proposals, audits of incurred costs, and final audits of contractors' claims.

Many DOT contractors are major corporations which also have Defense contracts, and the Defense Contract Audit Agency (DCAA) is the designated cognizant Federal audit agency. DCAA also is willing to provide these services, on a reimbursable basis, at other contractor locations. As a result, a substantial portion of contract audit services is obtained from sources outside of the OIG. The OIG coordinates this work and provides a quality review service for the CO.

A total of 27 workyears are projected for this audit area.

The following table depicts the projected utilization of OIG resources by Administration and category of work:

OFFICE OF INSPECTOR GENERAL
AUDIT WORKLOAD DISTRIBUTION EXPRESSED IN FULL-TIME EQUIVALENTS BY ADMINISTRATION AND CATEGORY

	Hotline Surveys and Inspections			Program Audits Headquarters			Program Audits Field			Grant and Contract Audit			Total		
	Act. 1985	Est. 1986	Est. 1987	Act. 1985	Est. 1986	Est. 1987	Act. 1985	Est. 1986	Est. 1987	Act. 1985	Est. 1986	Est. 1987	Act. 1985	Est. 1986	Est. 1987
OST	0.8	1.1	1.0	19.5	18.9	18.5	.0	.0	.0	6.3	8.1	4.1	26.6	28.1	23.6
USCG	0.1	0.1	3.0	24.4	23.2	23.0	45.8	47.7	47.5	1.0	1.0	1.0	71.3	72.0	74.5
FHWA	0.5	0.7	0.7	7.7	7.2	9.0	45.3	50.4	47.0	5.0	5.0	5.0	58.5	63.3	61.7
FAA	2.3	3.3	5.0	22.6	22.4	23.0	42.8	37.4	46.0	4.6	4.6	4.6	72.3	67.7	78.6
FRA	.0	.0	.0	0.9	0.7	0.5	2.9	3.5	2.9	0.5	0.5	0.5	4.3	4.7	3.9
UMTA	1.2	1.6	1.0	9.2	8.2	7.5	34.5	29.5	26.5	6.4	5.5	5.5	51.3	44.8	40.5
NHTSA	0.0	0.0	0.0	5.6	5.4	4.0	4.3	4.1	3.0	0.6	0.6	0.6	10.5	10.1	7.6
RSPA	.0	.0	.0	0.1	0.3	0.1	0.8	2.0	1.0	0.1	0.1	0.1	1.0	2.4	1.2
MarAd	0.1	0.1	0.1	2.7	3.5	2.0	2.7	2.7	2.0	6.2	5.8	5.8	11.7	12.1	9.9
SLSDC	.0	.0	.0	0.5	0.8	0.5	.0	.0	.0	.0	.0	.0	0.5	0.8	0.5
Subtotal	5.0	6.9	10.8	93.2	90.6	88.1	179.1	177.3	175.9	30.7	31.2	27.2	308.0	306.0	302.0
Management													22.0	21.0	21.0
Administration													31.0	30.0	30.0
Total													361.0	357.0	353.0

Investigative Activities

Our most significant investigative area continues to be the investigation of antitrust violations in DOT-funded construction projects. On September 30, 1985, we had active antitrust investigations in 28 states and Puerto Rico, with grand juries sitting in 14 states.

We continue to receive strong support from the Department for administrative sanctions in response to our investigations. We received notification of 100 administrative actions during FY 1985, which included terminations, reassignments, downgrades, and counselings. In addition, 45 companies and individuals were debarred or suspended based on our investigations.

While we will continue to emphasize our antitrust investigations, we must balance this with our efforts to be responsive to DOT management concerns and other areas of fraud and fraud detection. One area which will receive increased emphasis this year is the problem of frauds and fronts involving DBEs/Women's Business Enterprises (WBEs). The Surface Transportation Assistance Act of 1982 mandates that 10 percent of Highway and Transit DOT construction monies be awarded to DBEs, as prime contractors, subcontractors, or as suppliers. There are widespread indications of abuses in this program. Our enforcement efforts will be directed toward insuring that honest prime contractors and legitimate DBEs do not suffer economically because of false representations made by dishonest prime contractors and "sham" DBEs.

Our investigative staff for 1987 is projected at 69 workyears. This chart illustrates the projected distribution of workyears by investigative activity followed by a brief description of each activity.

Investigative Activity	1985	1986	1987
Reactive Investigations	28	29	29
Proactive Investigations	22	22	22
DOT Complaint Center (Hotline)	4	4	4
Management	6	6	6
Administrative/Clerical	7	8	8
	67	69	69

Reactive Investigations

Reactive investigations are a result of a complaint or allegation brought to the attention of the OIG from any source, or are "spin-offs" as a result of our proactive efforts. Most of these cases are complex, sensitive, and of a protracted nature which require a substantial amount of investigative resources. Our bid rigging investigations will continue to overlap both reactive and proactive activities.

A sampling of significant reactive cases during the last year follows:

a. Three corporate officials and a former Coast Guard employee were convicted following an investigation into conspiracy and submission of fraudulent invoices on a pollution cleanup contract. In addition to ordering imprisonments, probations, and personal fines, the court ordered $112,000 in restitution.

b. A joint investigation with the Federal Bureau of Investigation (FBI) resulted in the convictions of a state highway employee and an employee of a state contractor on the Fort McHenry Tunnel project in Baltimore, Maryland. The state official had authorized inappropriate expenditures by the contractor in return for gifts of guns and jewelry from the contractor's employee. Both were found guilty of mail fraud and extortion and were sentenced to confinements of 2 years with personal fines of $40,000.

c. An investigation concluded with the conviction of a Government contractor and two corporate officials for submitting false claims on a contract to provide technical services to disadvantaged business enterprises. The corporation agreed to make restitution of over $25,000 and was fined $30,000. One corporate official received probation and a $5,000 personal fine, while the other official received a jail sentence, probation, and a personal fine of $10,000.

d. At the request of the Federal Aviation Administration (FAA), we conducted investigations of 12 FAA employees for alleged travel voucher fraud. Our effort disclosed that 10 employees submitted false and/or unsupported claims for expenses while on official travel. Although prosecution was declined by the cognizant U.S. Attorney's office, administrative actions resulted in 81 days of suspension and recoveries of $28,000.

e. An investigation into allegations of inventory shortages at a Coast Guard exchange store resulted in the conviction of a store employee for embezzlement. The investigation disclosed that the employee stole cartons of cigarettes and also received free meat from a store supplier for a period of 5 years. In addition to receiving a court ordered fine and a period of probation, the employee was terminated from Government employment.

f. We concluded an investigation into allegations of off-duty drug use by some FAA Air Traffic Controllers (ATC) assigned to a control tower in a western state. A local drug testing laboratory conducted urinalyses of samples provided by the controllers which reflected marijuana use by two ATCs. The FAA assimilated our investigative results into an ongoing project researching the feasibility of drug testing certain categories of FAA employees. The FAA subsequently initiated a program for periodic drug testing of controllers.

g. Based upon information we received from the Defense Contract Audit Agency, we conducted an investigation which disclosed that a DOT contractor mischarged direct labor and travel costs from a commercial contract to a

Government overhead account, resulting in increased overhead costs applicable to a DOT contract. While judicial proceedings have not been completed in this matter, in response to our investigative findings, the contract was terminated, resulting in a $3.4 million cost savings to the Federal Government.

h. This investigation was a joint effort among DOT/OIG, FBI, Environmental Protection Agency (EPA), and U.S. Customs into the "gray market" importation of foreign vehicles. Following importation of thousands of expensive foreign vehicles, the importer filed fraudulent statements with both DOT and EPA, describing emissions and safety feature conversions he purportedly accomplished to bring the vehicles into compliance with U.S. requirements. The investigation proved substantial lack of compliance with many DOT and EPA specifications. Midway through presentation of the prosecution's case in U.S. District Court, the importer pled guilty. The importer's nephew, who worked in the business, also pled guilty to counts of mail fraud and making false statements.

i. The Maritime Administration (MARAD) sold a decommissioned U.S. Navy vessel to a salvage firm with the provision that all metallic ballast was to remain the property of MARAD. Investigation disclosed that 92.2 tons of lead ballast, valued at approximately $42,860, was removed from the vessel at the direction of the firm's president, who then concealed the proceeds of the sale from MARAD. Based on our investigation and negotiations with the Department of Justice (DOJ), the corporation pled guilty to theft of government property; was fined $10,000, and made full restitution to MARAD for the value of the ballast.

Proactive Projects

Proactive projects are conducted on activities vulnerable to fraud and are aimed at preventing and detecting fraud in these areas. They are broad-based, systematic efforts with emphasis placed on development and refinement of preventative measures. If specific targets (companies and/or individuals) are identified, reactive cases are initiated. A brief discussion of two major proactive areas follows:

Bid Rigging Investigative Effort

Investigations into antitrust violations in connection with highway construction projects resulted in 47 indictments, 45 convictions, $2,509,100 in fines, and 32.2 years sentences during FY 1985.

Collusive behavior has been endemic to the highway construction industry. Anticompetitive practices have existed in supply and sales of construction materials as well as in construction contracts themselves. Thus, even when the Government performs highway maintenance and construction using their own men and equipment they are still paying inflated prices for materials. Anticompetitive practices are estimated to have cost Federal, state, and local governments billions of dollars in excessive costs in road construction and maintenance.

Almost half of the states now have, or soon will have, computerized systems to assist them in estimating prices and discovering possible antitrust violations. The Federal Highway Administration is also developing a Highway Collusion Detection System, which is a statistical/analytical software package which will be provided to the states.

We have developed a course on "How To Conduct Highway Construction Bid Rigging Investigations", which we offered three times in 1985. The course has been attended by Federal criminal investigators from the EPA, the General Services Administration, Air Force Office of Special Investigations, and the Defense Criminal Investigative Service. Officials from state attorney's general offices, state auditors, state transportation officials, state inspectors, and mass transit officials have also attended.

We are currently examining the bidding behavior in a state to determine whether collusive bidding has recurred. Our preliminary analysis indicates a decline in the average number of bidders and an increase in prices following completion of the antitrust investigation in 1982.

Disadvantaged Business Enterprises

There has been a marked increase in the number of pending DBE-related investigations over the past year. This is because the Surface Transportation Assistance Act of 1982 mandated 10 percent participation by DBEs in highway and transit DOT-funded construction projects.

Prosecuting Federal crimes involving the DBE program can have two major benefits: it can restore integrity to the DBE program by its deterrent effect, and it can provide an incentive to contractors to get them to cooperate with the Government in ongoing antitrust investigations. Our personnel have cooperated with the DOJ in their coordination of the investigative efforts of several Federal agencies which operate under similar programs intended to encourage the establishment and growth of Disadvantaged Business Enterprises.

There are many possible schemes involving the DBE program. The one thing all of the schemes have in common is that they injure legitimate DBEs by denying them an opportunity to compete in DOT-funded programs. In addition to injuring legitimate DBEs many of the schemes also injure honest non-DBE prime contractors, who suffer in competition with dishonest non-DBE primes, who make false statements and false claims regarding their level of DBE participation. Corruption of the DBE program causes the Government to suffer financially by paying higher construction costs without any off-setting social benefits.

We recently issued a press release regarding our Departmental commitment to curbing abuses in the DBE program. The press release gave our Hotline telephone number as the central point to report suspected fraud in the DBE program. We asked each DOT grantee to include our press release, or the information contained in it, with each bid package issued during the next 6 months.

We currently have 49 pending DBE cases which comprise approximately 19 percent of our reactive caseload. Currently, of the 25 DOJ referrals for prosecutive consideration, 16 have been accepted, 4 have been declined, and 5 are pending. It is anticipated that once favorable case law is established in this area, the number of investigations and prosecutions will increase substantially.

DOT Complaint Center

The investigative staff is responsible for operating the DOT Complaint Center (Hotline). During FY 1985, the Center processed 666 telephone, letter, and walk-in complaints.

Some examples of FY 1985 Hotline complaints follow:

a. A complainant alleged that a USCG Property Officer might be personally involved in the improper disposition of a United States Coast Guard (USCG) lighthouse, potentially violating USCG Commandant Instructions, and DOT conflict of interest regulations found in 49 CFR, Part 99. OIG investigation failed to disclose any criminal conflict of interest on the employee's part; however, his actions did present, at a minimum, the appearance of such a conflict. Corrective action was taken by the USCG.

b. A complainant alleged misuse of a GSA gas credit card by a USCG member. USCG inquiry disclosed that subject admitted using GSA credit cards to purchase a battery for his vehicle, and four tires for his girl friend's vehicle. As a result, subject received 30 days extra duty; a reduction to pay Grade E-5, suspended for 6 months; and a forfeiture of $150 pay per month for 2 months.

c. A complainant alleged that management officials for a tour and charter carrier service falsified road and written test certificates, that the drivers were exceeding the hours of service regulations outlined in the Federal Motor Carrier Safety Regulations, and that they were falsifying their records of duty status. A safety management compliance audit conducted by FHWA substantiated the allegations and revealed several violations. A copy of the report was provided to the carrier who advised that all of the violations listed in the report would be corrected.

d. A complainant alleged waste of Government funds pertaining to the unnecessary use of a microwave link system. OIG audit inquiry determined that broadband radar was no longer needed in the Air Route Traffic Control Centers and that the centers had requested that specific broadband systems be decommissioned or their service reduced. Audit findings and recommendations were forwarded to the Federal Aviation Administrator for appropriate action.

e. A complainant alleged waste of Government funds by FAA regarding the purchase of overpriced microswitches. FAA inquiry disclosed that there appeared to be no "check and balance" system in effect that would preclude price gouging or overpricing of the thousands of items ordered and stocked at the depot. As a result, new procedures were instituted by the Manager, Aeronautical Center, to prevent recurrences of this nature.

f. A complaint that the Government was purchasing overpriced electrical items from distributor firms was substantiated. New procedures were instituted, and these items are now obtained from the Defense Electronics Supply Center.

Investigative Activity

The following table illustrates the 1985, 1986, and 1987 investigative efforts by activity:

REACTIVE CASES (Number Closed)	1985	1986	1987
Employee	66	65	65
Grants	95	95	95
Contracts	25	30	30
Other	16	10	10
Total Cases	202	200	200
PROACTIVE PROJECTS (Closed)	33	26	26
HOTLINE (Number of Complaints)	666	700	700

STANDARD FORM 300

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL
Reduction Pursuant to Puolic Law 99-177

Salaries and Expenses
Program and Financing (in thousands of dollars)

Identification code 69-0130-6-1-407	1985 actual	1986 estimate	1987 estimate
Program by activities:			
10.00 Total Obligations		- 1,187	
Financing:			
40.00 Budget authority (appropriation)		- 1,187	
Relation of obligations to outlays:			
71.00 Obligations incurred, net		- 1,187	
72.40 Obligated balance, start of year			- 152
74.40 Obligated balance, end of year		152	
90.00 Outlays		- 1,035	- 152

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1987

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

TABLE OF CONTENTS

SUMMARY PAGE

Organization Chart 1
Summary of Positions and Budget Authority. 2

RESEARCH AND SPECIAL PROGRAMS

Appropriation Language 3
Program and Financing Schedule 4
Summary of Budget Authority and Outlays. 5
Program and Performance Statement. 6
Object Classification Schedule 7
Reduction Pursuant to Public Law 99-177. 8
Personnel Summary. 9
General Statement. 10
Detail Summary of Positions and Budget Authority by Activity. 12

OPERATIONS

Summary Statement. 13
Office of the Administrator. 14
Office of Chief Council. 16
Office of Program Management and Administration. . . 17
Office of Hazardous Materials Transportation 22
Office of Pipeline Safety. 36
Office of Emergency Transportation 44
Office of Aviation Information Management. 49

RESEARCH AND DEVELOPMENT

Hazardous Materials Technology 53
Pipeline Safety Technology 58
Emergency Transportation 63
Communications and Radionavigation 66
Transportation Statistics. 71

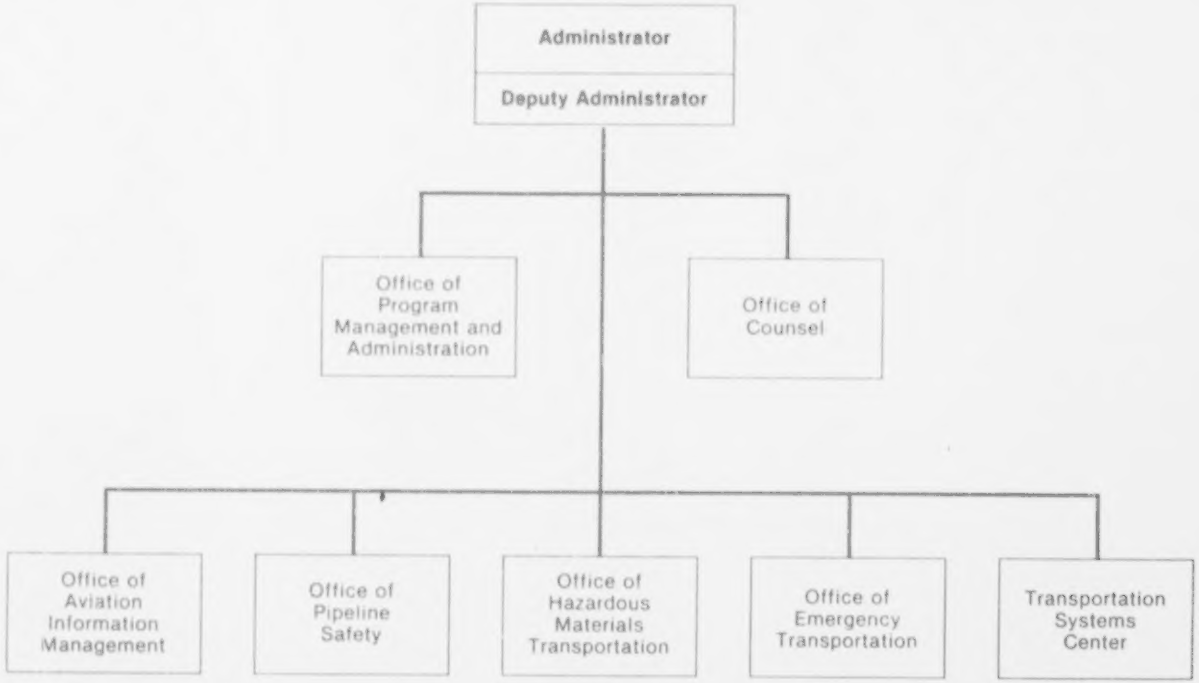
GRANT-IN-AID

Natural Gas Pipeline Safety Grant-In-Aid 72

WORKING CAPITAL FUND (TRANSPORTATION SYSTEMS CENTER)

Appropriton Justification Summary Statement. 74
Program and Financing Schedule 75
Object Classification Schedule 76
Personnel Summary. 77

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION


Administrator
Deputy Administrator
Office of Program Management and Administration
Office of Counsel
Office of Aviation Information Management
Office of Pipeline Safety
Office of Hazardous Materials Transportation
Office of Emergency Transportation
Transportation Systems Center

DEPARTMENT OF TRANSPORTATION

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

SUMMARY OF POSITIONS AND BUDGET AUTHORITY (B.A.)

(Dollars in Thousands)

	POSITIONS					BUDGET AUTHORITY				
	1986 Enacted	1986 After Sequestering	1986 Adjusted	1987 Request	Diff	1986 Enacted	1986 After Sequestering	1986 Adjusted	1987 Request	Diff
Research and Special Programs										
Operations	171	171	171	170	-1	$12,325	$11,795	$12,099	$13,469	$+1,370
Research and Development	---	---	---	---	---	2,475	2,369	2,065	2,055	-10
Pipeline Safety Grants	---	---	---	---	---	4,500	4,306	4,306	4,500	+ 194
Working Capital Fund (Transportation Systems Center)	527	527	527	---	-527	a/	a/	a/	a/	a/
TOTAL	698	698	698	170	-528	$19,300	$18,470	$18,470	$20,024	$+1,554

a/ The Center is funded by advances of funds through working agreements from the Office of the Secretary and the operating administrations in the Department.

DEPARTMENT OF TRANSPORTATION

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Federal Funds

General and special funds:

Research and Special Programs

For expenses necessary to discharge the functions of the Research and Special Programs Administration, for expenses for conducting research and development and for grants-in-aid to carry out a pipeline safety program, as authorized by [section 5 of] the Natural Gas Pipeline Safety Act of 1968 [(49 U.S.C. 1674), $19,300,000] and the Hazardous Liquid Pipeline Safety Act of 1979, $20,024,000 of which [$6,975,000] $6,555,000 shall remain available until expended: Provided, that there may be credited to this appropriation funds received from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training. (Department of Transportation and Related Agencies Appropriation Act, 1985, as included in Public Law 99-190; additional authorizing legislation to be proposed for $14,823,000.)

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

PROGRAM AND FINANCING (In Thousands of Dollars)

Identification code 69-0104-0-1-407	19 85 actual	19 86 estimate	19 87 estimate
Program by Activities:			
Direct program:			
1. Operations	12,723	12,325	13,469
2. Research and Development .	2,698	2,475	2,055
3. Grants	4,522	4,567	4,500
Total direct program	19,943	19,367	20,024
Reimbursable program	613	600	800
10.00 Total Obligations	20,556	19,967	20,824
Financing:			
Offsetting collections from:			
11.00 Federal funds.	-613	-600	-600
14.00 Non-Federal sources. . . .	---	---	-200
17.00 Recovery of prior year obligations.	-113	---	---
21.40 Unobligated balance. . . . . available start of year. .	-132	-67	---
24.40 Unobligated balance available, end of year . .	67	---	---
25.00 Unobligated balance lapsing	85	---	---
40.00 Budget authority	19,850	19,300	20,024
Relation of obligations to outlays:			
71.00 Obligations incurred, net. .	19,943	19,367	20,024
72.40 Obligated balance, start of year	10,498	7,655	9,022
74.40 Obligated balance, end of year.	-7,655	-9,022	-9,191
77.00 Adjustments in expired . . . accounts	-167	---	---
78.00 Adjustments in unexpired accounts	-113	---	---
90.00 Outlays	22,506	18,000	19,855

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(In Thousands of Dollars)

Identification code 69-0104-0-1-407	19 85 actual	19 86 estimate	19 87 estimate
Enacted/requested:			
Budget authority.	19,850	19,300	20,024
Outlays	22,506	18,000	19,855
Reduction pursuant to p.l. 99-177:			
Budget authority.	---	-830	---
Outlays	---	-512	-187
Total:			
Budget authority.	19,850	18,470	20,024
Outlays	22,506	17,488	19,668

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RESEARCH AND SPECIAL PROGRAMS

PROGRAM AND PERFORMANCE

The Research and Special Programs Administration serves as a research, analytical, and technical development arm of the Department for multimodal research and development, as well as special programs. Particular emphasis is given to pipeline safety and transportation of hazardous cargo by all modes of transportation. Responsibilities of the Administration are carried out under the following activities:

Operations

Provides for salaries and expenses and for central supervisory and management functions, including a management information system necessary for overall planning and direction. Provides for management and execution of transportation programs involving aviation data management (previously conducted by the Civil Aeronautics Board), national emergency plans and preparedness, and management of the Transportation Safety Institute. Provides for hazardous materials and pipeline safety regulatory and enforcement programs.

Research and Development

Provides for research to support the hazardous materials and pipeline safety regulatory programs and to complement research programs of other operating administrations.

Grants

Provides for the grant-in-aid to State agencies that conduct a pipeline safety program authorized by the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Act of 1979.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

OBJECT CLASSIFICATION (In Thousands of Dollars)

Identification code 69-0104-0-1-407		19 85 actual	19 86 estimate	19 87 estimate
Direct obligations:				
Personnel compensation:				
11.1	Full-time permanent . . .	7,004	6,594	6,668
11.3	Other than full-time permanent.	483	500	500
11.5	Other personnel compensation	34	40	40
11.9	Total personnel compensation	7,521	7,134	7,208
12.1	Personnel Benefits: Civilian	794	695	702
13.0	Benefits to former personnel	4	---	---
21.0	Travel and transportation of persons	438	384	376
22.0	Transportation of things	3	8	8
23.1	Standard level user charges	698	698	798
23.3	Communications, utilities, and miscellaneous charges	358	200	220
24.0	Printing and reproduction	163	194	186
25.0	Other services.	5,455	5,406	5,796
26.0	Supplies and materials. .	46	49	50
31.0	Equipment	13	32	30
41.0	Grants, subsidies, and contributions.	4,450	4,570	4,500
42.0	Insurance claims and indemnities.	---	---	150
99.0	Subtotal, direct obligations. .	19,943	19,370	20,024
99.0	Reimbursable obligations:	613	600	800
99.9	Total obligations . . .	20,556	19,970	20,824
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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

REDUCTION PURSUANT TO PUBLIC LAW 99-177
PROGRAM AND FINANCING (In Thousands of Dollars)

Identification code 69-0104-0-1-407	19 85 actual	19 86 estimate	19 87 estimate
Program by activities:			
10.00 Total obligations	---	-830	---
Financing:			
40.00 Budget authority (appropriation)	---	-830	---
Relation of obligations to outlays:			
71.00 Obligations incurred, net	---	-830	---
72.40 Obligated balance start of year.	---	---	-318
74.40 Obligated balance end of year.	---	318	131
90.00 Outlays	---	-512	-187

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL ROGRAMS ADMINISTRATION

PERSONNEL SUMMARY

Identification code 69-0104-0-1-407	19 85 actual	19 86 estimate	19 87 estimate
Total number of full-time permanent positions	146	171	170
Total compensable workyears:			
Full-time equivalent employment . .	180	195	194
Full-time equivalent of overtime and holiday hours	1	1	1

RESEARCH AND SPECIAL PROGRAMS

GENERAL STATEMENT

For FY 1987 the Research and Special Programs Administration (RSPA) is requesting $20,024,000 in budget authority and 170 permanent positions. The request for FY 1987 is an increase of $1,554,000 in Budget Authority from the FY 1986 after sequestering level. The increase is to support the triennial revision of the Emergency Response Guidebook, increased staffing of the hazardous materials transportation program, and nondiscretionary administrative costs. The following highlights FY 1987 budget impact on RSPA programs.

Hazardous Materials Transportation

RSPA requests an increase of twelve positions for the Office of Hazardous Materials Transportation (OHMT), and an increased budget of $1,104,000. The increased staff will enable OHMT to act on rulemakings, exemptions and approvals in a more timely manner; increase other communications with the states and local communities; and better enforce the hazardous materials transportation regulations. The increased budget reflects the additional positions and allows RSPA to republish and distribute the Emergency Response Guidebook. In addition the requested budget will allow RSPA to continue Federal/State workshops, and complete the rulemakings for cargo tanks as expeditiously as possible.

Pipeline Safety

The pipeline safety budget is essentially the same level as in FY 1986. This budget enables RSPA to continue its rulemaking, training, Federal/State worksops, enforcement and research for improved pipeline safety. Of significance in FY 1987 are two Administration recommendations for legislation. One recommendation is for private sector funding of the pipeline safety program. The pipeline industry would be charged a fee to cover the Federal program costs. The second recommendation is that the funding for the hazardous liquid pipeline and natural gas pipeline grant programs be merged. This merging would allow a State to direct the grant monies to those pipeline systems representing the greatest risk to the public safety.

Emergency Transportation

The Office of Emergency Transportation budget is slightly lower than FY 1986 and the FY 1987 budget primarily supports the Secretary's preparedness responsibilities for emergency management of the civil transportation resources. The activities in this role fall generally in two areas, continuity of the Department's organizational structure to perform essential functions during national emergencies and preparation of procedures and plans for emergency resource management.

Telecommunications

The Communications and Radionavigation Program is slightly lower than the FY 1986 level. The evaluation of alternative systems work has been completed and the multimodal planning and policy activity is decreasing. However, R & D to support the integration of the Global Positioning System (GPS) within the civil community has been expanded to meet key decisions required in 1987.

Aviation Information Management

The Aviation Information Management program provides significant data about airline capacity, traffic, and industry costs. This data benefits aircraft manufactures, researchers, academics, air carriers, airports, and the traveling public. In FY 1987, RSPA intends to make use of the of the private sector to the extent possible to collect aviation data. RSPA intends to cover the costs of collecting the data by charging the users of the data.

Transportation Systems Center (TSC)

The FY 1987 budget for TSC reflects the Administrations goal of privatizing the Center. The Department values the research and analysis carried out by the Center's staff. RSPA intends to work closely with Congress to achieve a privatization by April, 1987 that will mutually benefit the public, the Department of Transportation and the future of the Center.

Working Capital Fund (WCF)

In FY 1987, $754,700 from this appropriation will finance services provided through the Department's working Capital Fund.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS

DETAIL SUMMARY OF POSITIONS AND BUDGET AUTHORITY (B.A.) BY ACTIVITY
(Dollars in Thousands)

	[illegible]		[illegible]		[illegible]		[illegible]	
Appropriation/Activity	Positions	B.A.	Positions	B.A.	Positions	B.A.	Positions	B.A.
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Office of the Administrator	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Office of the Chief Counsel	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]		[illegible]		[illegible]		[illegible]		[illegible]
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[illegible]		[illegible]		[illegible]		[illegible]		[illegible]
[illegible]		[illegible]		[illegible]		[illegible]		[illegible]
[illegible]		[illegible]		[illegible]		[illegible]		[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
GRAND TOTAL	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

[illegible]

OPERATIONS

SUMMARY STATEMENT

The Operations Activity portion of the Research and Special Programs Appropriation finances the Administration's salaries and expenses as well as the central supervisory and management functions including a data processing, reporting, and analysis system necessary for overall planning and direction of the Administration. This activity also includes the management and execution of transportation programs involving hazardous materials and pipeline safety regulations, national emergency plans/preparedness, safety, security training, and planning and developing transportation statistics and aviation information management data.

In fiscal year 1987, RSPA will continue to support the Department's emphasis on safety. In the areas of Hazardous Materials and Pipeline Safety there is an excellent framework of comprehensive and responsive programs in information and analysis, enforcement, rulemaking, training, and emergency response. A major share of the resources are requested for these activities.

OPERATIONS

OFFICE OF THE ADMINISTRATOR

	FY 1986 After Sequestering	FY 1987	Difference
Permanent Positions	4	6	+2
Personnel Compensation & Benefits	$136,976	$236,976	+100,000
Administrative Costs	8,350	9,350	+1,000
	--------	--------	---------
TOTAL OPERATIONS	$145,326	$246,326	$+101,000

MISSION

The Administrator is responsible for the executive direction of the RSPA and for the establishment and overall implementation of Administration policy. The Deputy Administrator/Chief Scientist for the Department coordinates research and development policy for the Department of Transportation.

RESOURCES

Personnel Compensation and Benefits - The differences appearing in the FY 1987 budget for the Office of the Administrator will not result in a net change of positions or budget of RSPA. In actuality, the difference represents shifting of positions which had previously been allocated to subcomponents of RSPA.

The increase in PC&B of $100,000 is for the 2 positions and for adjustments for within-grade salary increases.

OPERATIONS

OFFICE OF THE ADMINISTRATOR

Administrative Costs

	FY 1986 After Sequestering	FY 1987	Difference
Travel	$5,425	$6,425	$+1,000
Printing and Reproduction	2,000	2,000	---
Supplies and Materials	925	925	---
Total	$8,350	$9,350	$+1,000

Justification

The difference in the Travel budget reflects the addition of the Deputy Administrator/Chief Scientist to the staff of the Office of the Administrator.

OPERATIONS

OFFICE OF CHIEF COUNSEL

	FY 1986 After Sequestering	FY 1987	Difference
Permanent Positions	8	8	---
Personnel Compensation & Benefits	$331,300	$366,000	$+34,700
Administrative Costs	7,925	7,325	-600
TOTAL OPERATIONS	$339,225	$373,325	$+34,100

MISSION

The Chief Counsel and his staff provide legal services to the Administrator and the various headquarters elements and field offices within RSPA. The services provided deal primarily with legislation, litigation, and general law matters. A principal function is to provide support to the Office of Hazardous Materials Transportation and the Office of Pipeline Safety particularly in regulatory matters. The Chief Counsel also provides general legal oversight and professional guidance to the Transportation Systems Center.

RESOURCES

Administrative Costs

	FY 1986 After Sequestering	FY 1987	Difference
Travel	$4,000	$3,400	$-600
Printing and Reproduction	3,000	3,000	---
Supplies and Materials	925	925	---
Total	$7,925	$7,325	$-600

OPERATIONS

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

	FY 1986 After Sequestering	FY 1987	Difference
Permanent Positions	15	15	---
Personnel Compensation & Benefits	686,700	$686,700	---
Administrative Costs	976,050	1,620,625	$+644,575
Program Funds	---	150,000	+150,000
TOTAL OPERATIONS	$1,662,750	$2,457,325	$+794,575

MISSION

The Office of Program Management and Administration provides staff and administrative support services for the development and implementation of programs in administrative areas. It promotes safety and security by designing and conducting training programs tailored to the requirements of government and industry. It provides planning and analysis on the future mix of Federally sponsored civil radionavigation and radiocommunication systems. It also has the responsibility for planning, developing and continuing a coordinated transportation statistics and information program, a program which is responsible for the collection, analysis, and dissemination of technological data, economic data, and other types of domestic and international transportation information.

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Program Management and Administration plans, implements, and manages the following functional areas with their associated operational objectives.

1. Office of Administration - Provides personnel management, organization planning, contracting and procurement. In addition, administrative services are provided or obtained, as required, for effective program operations, including general housekeeping services, computerized data services, and the Executive Secretariat.

2. Office of Budget and Programs - Provides planning, coordination, and implementation of RSPA budget formulation and execution activities, financial management, and reporting. This office also manages the following two major programs.

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

2a. Statistics, Data and Information Program - Develops, collects, analyzes, and disseminates technological, statistical, economic, and other types of domestic and international transportation information. Issues quarterly and annual summary reports of selected national and international transportation statistics including safety statistics. Maintains the RSPA in a current posture on new ADP and telecommunication technology and implements required changes.

2b. Communications and Radionavigation - Provides leadership on all radionavigation and radiocommunication activities, and technical focus on selected international cooperative research and development programs.

3. Transportation Safety Institute (TSI) - The TSI, under the executive direction of the RSPA Administrator, promotes transportation safety and security by designing and conducting training programs tailored to the specific needs and priorities of each government agency or industry group that contracts for TSI's services.

Permanent Positions - The following summary table of staffing for the Office of Program Management and Administration compares the functional distribution of permanent positions in fiscal year 1986 with the number requested for fiscal year 1987:

	STAFFING		
	FY 1986	FY 1987	Difference
Office of Administration	6	6	---
Office of Budget and Programs	5	5	---
Statistics Data and Information Programs	1	1	---
Transportation Safety Institute	2	2	---
Commumications and Radionavigation Program	1	1	---
	-----	-----	-----
Total	15	15	---

OPERATIONS

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

RESOURCES

Administrative Costs - The following summary table compares the administrative costs of this office in fiscal year 1986 with the amount requested in fiscal year 1987.

	FY 1986 After Sequestering	FY 1987	Difference
Travel	$13,300	$8,875	$-4,425
Transportation of Things	8,000	8,000	---
Standard Level User Charges	698,000	798,000	+100,000
Communications, Utilities and Miscellaneous Charges	200,000	220,000	+20,000
Printing and Reproduction	22,000	21,000	-1,000
Supplies and Materials	2,750	2,750	---
Equipment	32,000	30,000	-2,000
Insurance Claims	---	150,000	+150,000
Working Capital Fund	---	382,000	+382,000
TOTAL	$976,050	$1.620,625	$+644,575

Justification

The increase in the Administrative fund requirements is due to increases in: the SLUC rates furnished by GSA, in Communications, utilities and miscellaneous charges based on the FY 1985 actual projection , the estimated payment to the Department of Labor for the former TSI Director, and the estimated OST Working Capital Fund costs.

OPERATIONS

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

Program Funds

	FY 1986 After Sequestering	FY 1987	Difference
Statistics, Data and Information Programs	---	$150,000	$+150,000
1. Statistics & Data Publications	---	$140,000	$+140,000
2. Statistical Data and Information Requirements	---	10,000	+10,000
Total *	---	$150,000	$+150,000

* This increase is offset by a decrease in the Statistics Program shown in the R & D section of this budget.

Background

The DOT Act (Public Law 89-670) provides that the Secretary of Transportation shall promote and undertake development, collection, and dissemination of technological, statistical, economic, and other information relevant to domestic and international transportation. In carrying out this mandate, the DOT spends more than $30 million dollars annually on its major transportation information programs.

Justification

1. Statistics & Data Publications This program provides for the preparation, publication, and distribution of the annual National Transportation Statistics report, the new quarterly Transportation Safety report and the International Statistics report developed for and reported to the United Nations. These reports represent the only comprehensive source of multimodal transportation statistics in the U.S. The reports are used by federal agencies, congressional committees, academia, researchers and operating staff throughout the transportation community.

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

2. Statistical Data & Information Requirements This program is required by the Paperwork Reduction Act of 1980, Section 3506 (c)(1). The program will continue the detailed analysis of statistical data and information requirements of the operating administration. In particular, short-range requirements for information will be reviewed. All new transportation statistical reports will be added to the inventory of DOT statistical information systems reports and missions. Duplicative information will be carefully evaluated, and where possible eliminated or consolidated.

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

	FY 1986 After Sequestering	FY 1987	Difference
Permanent Positions	65	77	+12
Personnel Compensation & Benefits	$3,074,900	$3,546,300	$+471,400
Administrative Costs	262,400	260,400	-2,000
Program Funds	1,610,000	2,149,000	+539,000
TOTAL OPERATIONS	$4,947,300	$5,955,700	+1,008,400

MISSION

The Research and Special Programs Administration's, Office of Hazardous Materials Transportation is responsible for the safe transportation of hazardous materials by water, air, highway, and railroad. The RSPA has the authority to exercise the powers and perform the duties vested in the Secretary of Transportation by the following statutes:

Hazardous Materials Transportation Safety

- Title I of the Transportation Safety Act of 1974, except as delegated by 49 CFR Sections 1.46(t), 1.47(j), 1.48(u), and 1.49(s);
- Sections 603(c) and 902(h)(1) of the Federal Aviation Act of 1958, as amended, as they relate to regulations governing the transportation of hazardous materials by air.
- Section 306(a) of the Comprehensive Environmental Response, Compensation, and Liability Act.
- Section 137 of the Nuclear Waste Policy Act of 1982.

PROGRAM STRUCTURE AND OBJECTIVES

The RSPA plans, implements, and manages the hazardous materials transportation program which consists of the following functional areas and their associated operational objectives:

1. Information and Analysis - Provide the data and information necessary to support the operational planning and analysis requirements of RSPA's programs.

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

2. Rulemaking - Promulgate and maintain hazardous materials transportation standards which are clearly stated, enforceable, and reflective of national transportation policy, and which do not impose unreasonable burdens on commerce. Fully participate in the development of appropriate international safety standards while resisting those which unnecessarily impose non-tariff trade barriers on U.S. industry.

3. Enforcement - Minimize the public safety risk inherent in the multimodal transportation of hazardous materials by ensuring compliance with applicable safety standards. Ensure the availability of general and specific information on enforcement of and compliance with Federal hazardous materials transportation regulations. Assist state, local, and regional governments in development of their enforcement staffs. Provide industry with information to improve awareness of the requirements pertaining to transportation of hazardous materials.

4. Emergency Response - Provide state, local, and regional governments with informational material and guidance to assist them in planning for and responding to hazardous materials transportation emergencies in such a manner as to minimize the risk to public safety. Widely distribute basic emergency response guidance information. In carrying out this function RSPA has coordinated with other Federal agencies which have related responsibilities.

Permanent Positions - The following summary table for RSPA's Office of Hazardous Materials Transportation compares the functional distribution of full-time positions in the hazardous material (HM) program for fiscal year 1986 and 1987.

Functions	FY 1986	FY 1987	Difference
Information and Analysis -	6	6	---
Enforcement/Inspection/Training -	19	24	+5
Rulemaking -	34	41	+7
Management & Administration -	6	6	---
Total	65	77	+12

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

RESOURCES

Personnel Compensation and Benefits - The PC&B costs are increased by $471,400 to fund the request for 17 new positions.

Two Transportation Specialists are requested for the Federal, State, and Private Sector Initiatives Division to improve the Department's ability to deal with the increasing number of hazardous materials transportation issues which require a unified, coordinated approach of the Federal/State/local/private sectors. Due to the increasing concern by the public over the potential for accidents such as the Bhopal accident and due to the increase in the transportation of spent nuclear fuel, it is imperative that a systematic, unified approach, involving all parties, be promoted, developed, and used in the areas of hazardous materials regulation, enforcement, and emergency response. The two positions will be used to (1) perform increased levels of communication and coordination of Federal/State/local/private sector communities; and (2) develop and produce additional training and guidance materials.

Two additional Regulations Specialists are requested for the Standards Division to (1) address a backlog of more than 300 petitions for rulemaking; (2) establish and maintain packaging standards in conformance with international standards, which are constantly undergoing change; (3) review and update regulations pertaining to the safe transportation of hazardous materials aboard aircraft; (4) develop new explosives classification standards to facilitate their introduction into foreign commerce; (5) develop guidelines for the routing of hazardous materials by highways; and (6) handle numerous requests for interpretations and information pertaining to the regulations generally, and hazardous wastes and substances in particular.

One Transportation Specialist is requested for the Exemptions and Approvals Division to (1) improve on the thoroughness of review of petitions for exemption; (2) reduce the backlog of petitions for exemption; (3) handle matters associated with exemptions; e.g., telephone inquiries and correspondence, and (4) prepare Competent Authority Certificates which are becoming increasingly important to U.S. exporters in order to obtain delivery of their products to foreign destinations.

One Health Physicist position is requested in order to address long-range regulatory needs in the area of radioactive materials which are currently pushed aside by more pressing short-term needs. There is more interest and activity in the area of radioactive material transportation than the existing staff can handle.

RSPA

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

The Mechanical/Metallurgical Engineer position is requested because of the trend to design hazardous materials packagings based on advanced mechanical and material technologies such as Fracture Mechanics. Also, industry is relying on non-destructive test methods such as acoustic emission and ultrasonic testing to monitor and retest hazardous materials packagings. This position will provide the Technical Division with the engineering expertise to adequately evaluate the use of these advanced technologies.

The Chemist and one Secretarial position is requested to address the identification and classification of chemicals. Section 306(a) of the Comprehensive Environmental Response, Compensation, and Liability Act requires that all "hazardous substances," as defined in that Act, be listed as hazardous materials under the Hazardous Materials Transportation Act. The additional Chemist will be assigned duties related to the hundreds of substances newly designated as hazardous materials that must be investigated to determine their proper transportation classification and packaging. The increased professional staff necessitates a request for one additional Secretarial position to provide secretarial and clerical support in this area.

Three Transportation Enforcement Specialists are requested for the Enforcement Division. Two of these positions will be used to enhance RSPA's capability to conduct inspections and investigations of a multi-jurisdictional nature. The third position will be used to augment RSPA's compressed gas cylinder inspection efforts. This industry segment generates the majority of the complaints received and is presently covered by one specialist with several years' experience in this area, but no technical background. A person with an engineering background will be sought for this position.

Administrative Costs. - The following summary table compares the administrative costs of the OHMT in fiscal year 1986 with the amount requested in fiscal year 1987.

	FY 1986 After Sequestration	FY 1987	Difference
Travel	[illegible]	[illegible]	---
Printing and Reproduction	[illegible]	[illegible]	[illegible]
Supplies and Materials	[illegible]	[illegible]	[illegible]
TOTAL	[illegible]	[illegible]	[illegible]

OPERATIONS

[illegible]

[illegible]

[illegible]

	[illegible]	[illegible]	[illegible]
1. [illegible]	[illegible]	[illegible]	[illegible]
a. [illegible]	[illegible]	[illegible]	---
b. [illegible]	[illegible]	[illegible]	[illegible]
c. [illegible]	[illegible]	[illegible]	---
2. [illegible]	[illegible]	[illegible]	[illegible]
a. [illegible]	[illegible]	[illegible]	[illegible]
b. [illegible]	[illegible]	[illegible]	---
c. [illegible]	[illegible]	[illegible]	---
d. [illegible]	[illegible]	[illegible]	---

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

	FY 1986 After Sequestering	FY 1987	Difference
3. ENFORCEMENT	$647,000	$685,000	$+38,000
a. Utilize support laboratory to acquire, test, and analyze HM containers to determine non-compliance or faulty design specifications.	$130,000	$130,000	---
b. Hazardous Materials/Federal/State Safety Initiatives.	163,000	201,000	$+38,000
c. Investigate/analyze HM transportation accidents.	9,000	9,000	---
d. Provide Admin. Law Judge, stenographic services and costs of formal enforcement proceedings.	10,000	10,000	---
e. Support the delivery of training courses for government and industry personnel by the Transportation Safety Institute (TSI).	185,000	185,000	---
f. Produce/distribute training guidance materials and course curricula on HM transportation safety and emergency response.	50,000	50,000	---
g. Mandatory annual republication of 49 CFR.	100,000	100,000	---

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

	FY 1986 After Sequestering	FY 1987	Difference
4. EMERGENCY RESPONSE	$320,000	$794,000	$+474,000
a. Provide a Hazardous Materials Emergency Response Center through the USCG National Response Center with data links to CHEMTREC.	$250,000	$250,000	---
b. Produce/distribute the Hazardous Materials Emergency Response Guidebook (ERG).	70,000	544,000	+474,000
TOTAL	$1,610,000	$2,149,000	$+539,000

Justification

1. Information and Analysis

a. In FY-87, RSPA is requesting $370,000, the same as the planned FY-86 level, to support the Hazardous Materials Information System. Usage of the system has been increasing steadily and is expected to continue. The system is a direct access system with multiple users at different locations for a variety of analytical, enforcement, and training purposes. Users include some 30 in RSPA alone, five other DOT administrations (FAA, FRA, CG, FHWA (BMCS), NTSB, DOD, and 26 state agencies. It is also being demonstrated to state, regional and local governments to assist in their HM planning and enforcement efforts. Improvements in operating efficiency including off-line microprocessor-based data entry have kept cost levels down in spite of expanded use.

b. In FY-87, RSPA is requesting $90,000, an increase of $15,000 over the funding level planned for FY-86, to continue the planning and analytical capabilities necessary to support regulatory projects, such as the impact of performance standards (HM-181) on the small packaging industry. In FY-87, we will continue a project, initiated in FY-86, designed to assess packaging safety performance in the transportation system as requirements change from design specifications to performance standards. This funding level will also permit a very modest effort in the development of technical assistance materials for use by state and local officials in their emergency response planning efforts.

This is a multi-year funding effort which is part of a systematic effort to improve the efficiency and effectiveness of the hazardous materials regulatory program.

c. In FY-87, RSPA is requesting $5,000, the same level as FY 86, to maintain the docket system and the supporting hardware for microfilming new dockets, and to provide timely services to those using dockets. RSPA has to maintain a centralized docket and information service for all matters which require formal docket procedures and actions. Dockets include: (1) advance notices and notices of proposed rulemakings together with comments received thereon during rulemaking proceedings, copies of related Federal register notices, final rules, petitions for consideration, and decisions issued in response to petition reconsiderations; (2) applications and all related documents for exemptions from DOT's regulations governing the transportation of hazardous materials; (3) applications for inconsistency rulings and nonpreemption determinations; (4) records for compliance order proceedings and RSPA compliance orders; (5) appeals filed under DOT regulations and RSPA responses to those appeals; and (6) other information pertaining to RSPA's hazardous materials program required by statute to be made available for public inspection and copying.

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

Justification (Continued)

2. Rulemaking

   a. In FY-87, RSPA is requesting $42,000, an increase of $12,000 over the FY 86 level, to continue comparing present design specification standards with United Nations performance standards, to establish a firm technical base for issuing regulations adopting performance-oriented standards for non-bulk hazardous materials packagings, and to evaluate the impact of performance standards on the packaging and transportation systems. The impact of performance-oriented standards on each category of packaging may be significant. RSPA performed two series of tests to verify the performance of fiber board boxes and steel drums with respect to the United Nations Recommendations. The steel drums performed satisfactorily. However, both standard and upgraded 12B fiber board boxes failed to meet the UN performance requirements. These data are being used by RSPA in the development of regulations that will: (1) assure the safe transportation of U.S. industry made products and their free flow in commerce; and (2) not impose an undue burden on U.S. industry. Additional work is needed to evaluate other comments by U.S. industry dealing with purportedly overly stringent or inadequate UN performance requirements.

   b. In FY-87, RSPA is requesting $20,000, the same level as in FY-86, to incorporate changes in the Hazardous Materials Table, which are required by the pending rulemaking to harmonize the U.S. regulations with the United Nations Recommendations. These tables serve significant functions in the system of Hazardous Materials Regulations and are used by all who are involved in the transportation of hazardous materials. The Hazardous Materials Table, published as an integral part of the regulations, functions as an index for finding any requirement specified in HM regulations. The Intermodal Tank Authorization table specifies the material that may be transported in intermodal tanks, including tanks used in international commerce, and is published separately. It is revised periodically to incorporate changes resulting from rulemaking and to add new items which, experience from our exemption program shows, can be safely transported in intermodal tanks. This reduces the need for exemptions. Both tables must be kept updated to assure a viable regulatory program.

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

Justification (Continued)

c. In FY-87, RSPA is requesting $15,000, the same level planned for FY-86, to support the cost of conducting public hearings and publishing the proceedings.

d. In FY-87, RSPA is requesting $128,000, the same level planned for FY-86, to publish notices and final rules in the Federal Register. The increase in FY-86 was due to the increased cost of printing and binding, and a slight increase in the number of pages to be printed in FY-86. We expect no significant cost changes will occur in this area in FY-87.

3. Enforcement

a. RSPA is requesting $130,000 in FY 87, the same level as FY 86, for testing of containers and materials in support of enforcement efforts. By FY-87, RSPA expects to have in place testing procedures for all types of containers which it intends to test for specifications and requirements. In many cases, compliance with the regulations may be ascertained only by testing. RSPA considers the on-going container compliance testing program an important adjunct and part of its enforcement and inspection program. This continuing capability is especially important in view of the move toward performance oriented regulations and new classification criteria. The test results will be used to: (1) evaluate the adequacy of Federal safety standards, (2) support specific enforcement actions, (3) identify compliance problems and trends which enable more accurate decisions to be made concerning the deployment of enforcement resources, and (4) support other Federal as well as state enforcement efforts.

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

Justification (Continued)

b. In FY-87, RSPA is requesting $201,000, an increase of $38,000 over the FY 86 level,to continue support of state hazardous materials accident prevention and response programs. RSPA considers the Federal/State partnership to be the key to a successful National Hazardous Material Transportation Program. It is essential that the federal agency primarily responsible for hazardous materials transportation work with the appropriate State agencies with respect to routing, regulation, enforcement, and emergency response. It is also important that all federal agencies with responsibilities in the hazardous materials area coordinate efforts. RSPA is currently encouraging this cooperation among agencies within the Department of Transportation and other federal departments such as the Nuclear Regulatory Commission, Environmental Protection Agency, the Federal Emergency Management Agency and the Department of Energy. It is essential that we work together with the States to ensure a safe and efficient transportation system.The partnership developed in the State Hazardous Materials Enforcement Development (SHMED) program will be continued.

As in FY-86, workshops will be utilized to: (1) formalize direct channels of communication between the Federal regulatory agency (RSPA) and the states to provide uniformity and coordination of the rulemaking process and interpretation of the hazardous materials regulations; (2) provide emergency service personnel and others involved in the transportation of hazardous materials with an awareness of the problems involved in highway, rail, and marine and air terminal operations, and accidents and incidents involving hazardous materials; and (3) continue meetings between Federal and State personnel to provide opportunities for "networking" which has proved successful in the SHMED program for developing a cohesive Federal/State partnership.

The guidance provided and workshops held will, as in FY-86, be aimed at: (1) prevention of accidents and incidents; (2) reduction of compliance costs through uniform application of the regulations; (3) elimination of duplication of efforts by various state and local agencies; (4) promotion of consistent sanctions for the same or similar violations of the hazardous materials regulations; (5) minimization of risks to the public and emergency response personnel; and (6) providing a higher level of safety through uniformity.

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

Justification (Continued)

c. In FY-87, RSPA is requesting $9,000, the same level as FY 86, to investigate and analyze the cause of hazardous materials transportation accidents.

d. In FY-87, RSPA is requesting $10,000, the same level as planned for FY-86 funding, to provide the services of an Administrative Law Judge in enforcement proceedings. The complexity of cases and the number of cases requiring formal hearings by an Administrative Law Judge (under Part 107 of 49 CFR) continues to increase as MTB's enforcement staff works in increasingly complicated and technical areas.

e. In FY-87, RSPA is requesting $185,000, the same funding level planned for FY-86, for partial funding of RSPA sponsored hazardous materials training at the Transportation Safety Institute (TSI) Oklahoma City. This funding level will cover about half of the cost of the hazardous materials training planned for FY-87 and is predicated on collecting tuition from States and other participants. The State share of funding for training can be substantially met through dollars received from MCSAP, a federal grant program carried out under the Surface Transportation Assistant Act. However, use of tuition fees collected in this manner must be specifically authorized for use in TSI's program. In FY-87, RSPA plans to sponsor 56 classes in six areas of hazardous materials for 1880 students:

Course	Hours	Classes	Students
Haz Mat Compliance & Enforcement	40	25	1000
Cargo Tank Roadside Inspection	26	10	200
Cargo Tank Compliance & Enforcement	30	5	200
HM Train-the-Trainer	72	4	80
In-Depth Radioactive Materials	32	4	80
HM Military	40	8	320
	240	56	1880

Justification (Continued)

In FY-87 training will be provided to 380 Federal employees and 1500 State and local government employees. In FY 1986 RSPA will be able to train only 1200 persons (approximately) because it did not receive authority to apply tuition fees to operation of the TSI program.

f. In FY-87, RSPA is requesting $50,000, the same funding level planned for FY-86, to respond to inquiries about hazardous materials transportation safety from other government agencies, the public and industry. Funds are also necessary to support the production of guidance materials for state law enforcement and emergency response personnel.

In the past over 1,000 requests for material have been received each month. RSPA meets this obligation by developing and distributing training manuals, handbooks, mini-courses, pamphlets, charts, posters, fact sheets, and newsletters. This allows RSPA to reach a broader audience than would be possible through the classroom.

g. In FY-87, RSPA is requesting $100,000, the same as planned for FY-86 to republish and distribute the hazardous materials regulations as required by the Administrative Procedures Act, 5 USC Sec. 552.

4. Emergency Response

a. In FY-87, RSPA is requesting $250,000, the same level as the level planned for FY-86, for its cost of operating the National Response Center (NRC). Under the provision of the Federal Water Pollution Control Act, as amended, Executive Order 11735, and the National Oil and Hazardous Substance Pollution Contingency Plan, the U.S. Coast Guard (USCG) operates a National Response Center to receive reports of oil and hazardous substance discharges and to facilitate response to such an incident.

RSPA fulfills its requirement to receive reports of incidents involving the transportation of gas and hazardous materials transported by other modes (air, rail, highway, and water) by entering into a reimbursable agreement with the USCG to avail itself of existing capabilities. RSPA's annual contribution toward NRC's operating costs has been $250,000 since FY-81, even though telephone line, computer use, and input costs increased significantly. While RSPA receives information and services that may account for as much as one-half of NRC's workload, in 1987 RSPA will be contributing less than one-third of the operating funds for the NRC.

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

Justification (Continued)

b. In FY-87, RSPA is requesting $544,000, an increase of $474,000 over FY 86, to undertake a major revision to the 1984 edition of the Emergency Response Guidebook and to print up to 750,000 copies thereof. This will constitute the second revision of the ERG since it was initially published in 1980. It is expected that all changes to the 1984 Guidebook will be completed during CY 1986 and that the 1987 Guidebook will be printed and major initial distribution completed by the end of the 2d quarter of FY 1987. Part of the requested funds will be used to defray the costs of the initial distribution involving approximately 500,000 copies of the new Guidebook. The remaining copies of the Guidebook will be mailed out upon request.

The Emergency Response Guidebook requires revision on a periodic basis (e.g., triennially) because changes in UN identification numbers occur frequently and an estimated several hundred new chemicals are developed each year many of which meet the RSPA's definition of hazardous materials. As a consequence, the ERG must reflect appropriate emergency response procedures for these new hazardous materials.

The Guidebook is used to identify hazardous materials by their respective four-digit UN identification number and to determine what safety measures to take immediately in the event of an accidental release. Intended for use by fire, police, and other emergency services personnel, the ERG is part of DOT's effort to provide State and local organizations with information critical to successful emergency response on an immediate or short term basis. The ERG is used by approximately 30,000 fire departments, 30,000 police departments, and 10,000 to 15,000 other response organizations, e.g., private and public hospitals, public road maintenance departments, and debris removal firms. RSPA estimates it has distributed over 1.5 million guidebooks since 1980 when it was first printed. It is used in a multitude of situations ranging from assisting warehouse employees in identifying the contents of a package from the UN number displayed to potentially catastrophic accidents, such as the one in Livingston, Louisiana, where several tank cars derailed spilling large amounts of several chemicals and flammable gases. In that accident, the ERG was instrumental in identifying the substances involved and the degree of hazard on an immediate basis. As a result, virtually all persons were evacuated from the affected area and no loss of life occurred.

OPERATIONS

OFFICE OF PIPELINE SAFETY

	FY 1986 After Sequestering	FY 1987	Difference
Permanent Positions	45	45	---
Personnel Compensation & Benefits	$2,061,000	$2,061,000	---
Administrative Costs	252,900	250,900	$-2,000
Program Funds	609,000	680,000	+71,000
TOTAL OPERATIONS	$2,922,900	$2,991,900	$+69,000

MISSION

The Research and Special Program Administration's, Office of Pipeline Safety has regulatory responsibility for the safe transportation of gases or hazardous liquids by pipeline. The RSPA has been delegated the authority to exercise the powers and perform the duties vested in the Secretary by the following statutes:

Pipeline Safety

- Title I of the Transportation Safety Act of 1974, except as delegated by 49 CFR Sections 1.46(t), 1.47(j), 1.48(u), and 1.49(s);
- Hazardous Liquid Pipeline Safety Act of 1979;
- Natural Gas Pipeline Safety Act of 1968, as amended;
- Deepwater Port Act of 1974, relating to the establishment, enforcement, and review of regulations concerning the safe construction, operation, and maintenance of pipelines on Federal lands and the Outer Continental Shelf;
- Section 5 of the International Bridge Act of 1972, as it relates to pipelines not over navigable waterways;
- Subsection 28(w)(4) of the Mineral Leasing Act of 1920, as amended.

OPERATIONS

OFFICE OF PIPELINE SAFETY

PROGRAM STRUCTURE AND OBJECTIVES

The RSPA plans, implements, and manages the pipeline safety regulatory program which consists of the following functional areas and their associated operational objectives:

1. Information and Analysis - Provide the data and information necessary to conduct the operational planning and analysis requirements of RSPA's programs.

2. Rulemaking - Promulgate pipeline safety standards which are clearly stated, enforceable, and reflective of national transportation policy, and which do not impose unreasonable burdens on commerce.

3. Enforcement - Minimize the public safety risk inherent in the transport of natural gas and hazardous liquids by pipeline by ensuring compliance with applicable safety standards.

RESOURCES

Permanent Positions - The following summary table for the RSPA's Office of Pipeline Safety compares the functional distribution of full-time positions in the Pipeline Safety (PL) programs for fiscal year 1986 and 1987:

Functions	FY 1986	FY 1987	Difference
Office of the Director	5	5	---
Pipeline Safety Regulation	12	12	---
Pipeline Safety Enforcement	4	4	---
Alaska Natural Gas Pipeline	1	1	---
Pipeline Safety Field Offices	23	23	---
Total	45	45	---

OPERATIONS

OFFICE OF PIPELINE SAFETY

Administrative Costs - The following summary table compares the administrative costs of the Office of Pipeline Safety in fiscal year 1986 with the amount requested in fiscal year 1987:

	FY 1986 After Sequestering	FY 1987	Difference
Travel	$202,000	$202,000	---
Printing and Reproduction	37,000	35,000	$-2,000
Supplies and Materials	13,900	13,900	---
TOTAL	$252,900	$250,900	$-2,000

OPERATIONS

OFFICE OF PIPELINE SAFETY

	FY 1986 After Sequestering	FY 1987	Difference
1. INFORMATION AND ANALYSIS	$290,000	$315,000	$+25,000
a. Maintain/operate automated data systems in support of pipeline regulatory activities.	$225,000	$225,000	---
b. Perform analyses of costs, impacts, risks, etc., in support of planned/ongoing regulatory activities. As required, perform Congressionally-mandated studies. Support two legislatively-mandated pipeline safety advisory committees.	65,000	90,000	$+25,000
2. RULEMAKING	$33,000	$53,000	$+20,000
a. Review and analyze the effect on small operators of pipeline regulations (Regulatory Flexibility Act requirements.)	$4,000	$24,000	$+20,000
b. Hold public hearings; publish proceedings.	4,000	4,000	---
c. Publish notices and rules in the Federal Register.	25,000	25,000	---

OFFICE OF PIPELINE SAFETY

	FY 1986 After Sequestering	FY 1987	Difference
3. ENFORCEMENT	$286,000	$312,000	$+26,000
a. Evaluate state-of-the art technology as it relates to compliance with performance regulations and develop enforcement procedures to incorporate that technology.	$56,000	$56,000	---
b. Investigate/analyze pipeline accidents.	---	10,000	$+10,000
c. Provide Admin. Law Judge, stenographic services and other costs of formal enforcement proceedings.	5,000	5,000	---
d. Support the delivery of training courses for government and industry personnel by the Transportation Safety Institute (TSI).	185,000	185,000	---
e. Produce/distribute training materials and self-study programs on gas and liquid pipeline safety.	15,000	31,000	+16,000
f. Mandatory annual republication of 49 CFR.	25,000	25,000	---
TOTAL	$609,000	$680,000	$+71,000

OPERATIONS

OFFICE OF PIPELINE SAFETY

Justification

1. Information and Analysis

   a. In FY-87, RSPA is requesting $225,000, the same amount as in FY 1986, to operate and maintain the pipeline safety portion of the Hazardous Materials Information System. The HMIS system is a direct access system for dispensing information to multiple users, e.g., RSPA, other DOT admininstrations, NTSB, and state agencies. It is now being used on a real-time basis in planning enforcement actions. This use is expected to increase during the next few years. RSPA will maintain the overall costs at a constant level through FY-87.

   b. In FY-87, RSPA is requesting $90,000, for planning and analytical support for pipeline safety regulation and enforcement. This funding will permit continued analytical support to regulatory projects, such as the extension of federal authority to intrastate hazardous liquid pipelines completed in FY-85. It also will permit the continued development of an algorithm (initiated in FY-86) being used to identify high priority areas where inspection efforts should be directed. The algorithm is a valuable tool for allocating the limited resources of the Pipeline Safety enforcement staff. This is a multi-year program, part of systematic efforts to improve the pipeline safety regulatory program. It includes funding to cover the costs of travel, per diem, and transcription services to conduct meetings of the two Technical Pipeline Safety Standard Committees established by the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Safety Act of 1979. Each Committee is composed of 15 members consisting of representatives from Government, industry, and the public.

2. Rulemaking

   a. In FY-87, RSPA is requesting $24,000 for conducting analytical studies of potential rulemaking actions. Statutory authorizations mandate that pipeline safety standards be based on relevant available pipeline safety data, be appropriate and reasonable, and contribute to public safety. This funding will permit RSPA to comply with the authorizations. To the extent practicable, the noted analytical efforts will be included in the RSPA Pipeline Safety Data Analysis Plan to be implemented in FY-87.

   b. In FY-87, RSPA is requesting $4,000, the same funding level as requested for FY-86, to support public hearings on pipeline safety regulatory issues.

Justification (Continued)

c. In FY-87, RSPA is requesting $25,000, the same level as for FY-86, for publication (as required by law) of notices and regulations in the Federal Register. Although printing costs have increased each year, RSPA expects to hold the cost of this item to the FY-86 level.

3. Enforcement

a. In FY-87, RSPA is requesting $56,000, the same level as for FY 1986, to continue the evaluation of pipeline technology and establish a basis for major enforcement actions. The investigations will: (1) assess the procedures used for determining the voltage (I.R. Drop) of cathodically protected pipeline systems and determine if current regulations are sufficient for an acceptable level of cathodic protection; and (2) continue investigations begun in FY-86 to assess regulatory requirements for cathodic protection of pipes inside casings; and (3) assess the effectiveness of the various methods of protecting the internal walls of pipelines transporting corrosive and toxic materials. Recent oil and gas discoveries in several states have contained hazardous quantities of very toxic and corrosive hydrogen sulfide. These products are now being transported through many miles of existing pipelines. These studies will assess the need for changes in regulations and enforcement procedures.

b. In FY-87, RSPA is requesting $10,000, to continue the investigation of pipeline failures and conduct analysis of selected components involved in pipeline accidents to determine cause of failures.

c. RSPA anticipates no change in the amount required to support the cost of formal enforcement proceedings. The FY-86 funding level of $5,000 will be sufficient for FY-87 activities.

OFFICE OF PIPELINE SAFETY

Justification (Continued)

d. In FY-87, RSPA is requesting $185,000, the same level as planned for FY-86, to support pipeline safety training at the Transportation Safety Institute in Oklahoma City. Ten courses will be sponsored covering the evaluation of pipeline systems, corrosion control, liquefied natural gas, joining of pipe, pressure regulations, failure analysis, and enforcement procedures. Students will include 19 Federal and 254 state employees. Fifteen short seminars (1-2 days) are planned to provide awareness training to 775 state employees. Three courses will be conducted to train 45 industry employees in Federal requirements.

e. In FY-87, RSPA is requesting $31,000, to develop educational material suitable for distribution to pipeline personnel some of whom are unable to attend formalized resident type training at Oklahoma City and/or at other locations, due to budgetary constraints and/or limited involvement. This material has been enthusiastically received and has proven to be extremely effective. It is designed for those with little or no previous knowledge, as well as for those who need an update. In addition, RSPA develops and distributes books, newsletters, pamphlets and fact sheets to meet a continuing demand for information from government agencies, and the general and regulated public.

f. In FY-87, RSPA is requesting $25,000, the same level as for FY-86, to produce and distribute the pipeline safety regulations as required by the Administrative Procedures Act, 5 U.S.C., 552.

OPERATIONS

OFFICE OF EMERGENCY TRANSPORTATION

	FY 1986 After Sequestering	FY 1987	Difference
Permanent Positions	10	10	---
Personnel Compensation & Benefits	$457,800	$457,800	---
Administrative Costs	26,850	23,950	$-2,900
Program Funds	252,000	250,000	-2,000
TOTAL OPERATIONS	$736,650	$731,750	$-4,900

MISSION

The Emergency Transportation Program executes the Secretary of Transportation's statutory and administrative responsibilities in the area of civil transportation emergency preparedness. The Office of Emergency Transportation (OET) is the primary element of the Department engaged in the preparation, coordination, and implementation of policies, plans, and programs for attaining and maintaining a high state of Departmental and Federal transportation community emergency readiness and response. With the active participation of appropriate Secretarial Offices, Operating Administrations, external Federal and state agencies, and industry, OET discharges the Secretary's statutory and administrative responsibilities in all emergencies affecting the national defense and in other national or regional emergencies, including those caused by natural disasters and other crisis situations. Execution of this program involves the authority to exercise the powers and perform the duties vested in the Secretary by the following statutes, executive orders, and National Security Directives:

- o Department of Transportation Act (49 USC 301)
- o Defense Production Act of 1950, as amended (50 USC App. 2061 et.seq) (Title I-Priorities and Allocation, Sections 101(a) and (b), and Title VII-General Provisions, Section 710(e));
- o Disaster Relief Act of 1974, as amended;
- o Executive Orders 10480, as amended and 11490, as amended;
- o National Security Council/Presidential Directive Number 58;
- o Presidential Memorandum, "Emergency Mobilization Preparedness Board", dated December 17, 1981.

OFFICE OF EMERGENCY TRANSPORTATION

- National Security Decision Directive 47, "Emergency Mobilization Preparedness."
- National Security Decision Directive 26, "Civil Defense".
- National Plan of Action for Mobilization Preparedness

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Emergency Transportation plans, implements, and manages the Operational Readiness Program which consists of the following functional areas with their associated objectives:

a. Exercise Development - Plan and write realistic exercises and courses portraying the nature and complexity of transportation-related problems and decisions likely to be faced in national emergency situations by DOT emergency cadre members.

b. Training Execution - Conduct regional and headquarters training sessions using the exercises referenced above to assure that the DOT emergency cadre is well trained.

c. Communications - Provide a dedicated and reliable emergency communication capability at all DOT emergency relocation sites by maintaining the radio/teletype equipment currently in place and enhance equipment capability as required, thus eliminating reliance upon highly vulnerable non-secure commercial systems.

d. Civil Crisis - Provide for a prompt and effective response to natural disasters and man-made crises such as: Mt. St. Helens, Three Mile Island; labor disturbances adversely impacting the nation's civil transportation system and terrorist actions. Support Radiological Emergency Planning and Earthquake Response Plans in the Regions.

e. Continuity of Government - Provide (1) for the planning aspects and exercises related to assuring continuity of the Department during emergencies and manage Departmental Special Access Programs and (2) for security-related costs associated with the National Defense Executive Reserve Program, the Special Access program and general OET equipment and material used in the execution of classified programs.

f. Exercise Support - Maintain emergency data bases and analytical tools needed by decision-makers during times of crises. Utilize these tools during exercises to test their validity and effectiveness and train emergency cadre in their use.

OPERATIONS

OFFICE OF EMERGENCY TRANSPORTATION

RESOURCES

Permanent Positions - The following summary table for the Office of Emergency Transportation (OET) compares the permanent positions in fiscal year 1986 with the numbers requested in fiscal year 1987. OET personnel support both the Operations and Research and Development Programs.

	FY 1986 After Sequestering	FY 1987	Difference
Emergency Transportation	10	10	---

Administrative Costs - The following summary table compares the administrative costs for Emergency Transportation in fiscal year 1986 with the amounts requested in fiscal year 1987.

	FY 1986 After Sequestering	FY 1987	Difference
Travel	$13,000	$11,100	$-1,900
Printing and Reproduction	12,000	11,000	-1,000
Supplies and Materials	1,850	1,850	---
TOTAL	$26,850	$23,950	$-2,900

OPERATIONS

OFFICE OF EMERGENCY TRANSPORTATION

PROGRAM FUNDS

	FY 1986 After Sequestering	FY 1987	Difference
1. OPERATIONAL READINESS	$252,000	$250,000	$-2,000
a. Exercise Development	$40,000	$40,000	---
b. Training Execution	24,000	24,000	---
c. Communications	35,000	33,000	$-2,000
d. Civil Crisis Support	20,000	20,000	---
e. Continuity of Government	20,000	20,000	---
f. Exercise Support	113,000	113,000	---
TOTAL	$252,000	$250,000	$-2,000

Justification

1. Operational Readiness.

a. Exercise Development - This annual project develops a structured defense-oriented proficiency course for those individuals who run the Secretary's Emergency Organization in a national emergency. The individuals are from the private sector (National Defense Executive Reservists-NDER) and the Federal transportation community (Mobilization Designees). The exercise is conducted to present varying emergency problems and scenarios ranging from a national mobilization to post nuclear attack recovery.

b. Training Execution - This project complements and implements the annual exercise package that is developed as mentioned above. Specifically, these funds provide (1) administrative and logistical support to execute the training for over 600 cadre personnel in the National and 10 regions standby emergency organization, (2) limited logistical assistance for each of the 10 Regional Emergency Transportation Coordinators who host the annual training exercises, (3) a national emergency training and planning conference, and (4) partial support for training costs of National Defense Executive Reservists participating in regional exercises.

OFFICE OF EMERGENCY TRANSPORTATION

Justification (Continued)

c. Communications - The Department has incrementally developed an emergency communications network which includes all 10 regional DOT emergency operations facilities and the DOT headquarters relocation facility. With the system now completely installed, FY 87 communication activities will be directed toward establishing radio maintenance support, development and testing of standard operating procedures and continued radio operator training.

d. Civil Crisis Support - The primary effort of this project is to support DOT's role in evacuation planning for potential nuclear power plant disasters. Fiscal year 1987 activity is estimated to involve 50 full-scale operating nuclear power plant emergency response exercises as well as reviewing state plans when so requested by the states.

e. Continuity of Government - This program provides for the planning, training, evaluations and conduct of exercises related to a viable organizational structure for continuation of the Department's essential functions in emergency situations. In addition, OET is involved in both the development, planning of and participation in exercises as well as other training activities related to Special Access Programs. The details of the Special Access Program activities are contained in classified documents maintained by OET.

f. Emergency and Exercise Support - This product consists of two parts. The first is the operation, maintenance and usage of the emergency transportation data base containing critical national transportation resources information and "damage assessment" information. The data base maintenance requires select yearly updates. Data for the system is provided by the DOT operating Administrations or purchased from commercial sources where Federal agencies do not have appropriate available information. The second part is a Demand/Capacity Model used to rapidly assess the overall capability of the national transportation system to meet emergency national security and domestic demands that may arise under projected or actual national emergencies. The model is routinely used in drills which address the response of the national economy to potential military crises. FY 1987 funding is for costs of data storage, technical and administrative assistance for system training, updating existing data sets, and computer time to execute the drills for exercise support.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

	FY 1986 After Sequestering	FY 1987	Difference
Permanent Positions	25	10	-15
Personnel Compensation & Benefits	$1,045,600	$555,200	$-490,400
Administrative Costs	29,250	27,450	-1,800
Program Funds	270,000	130,000	-140,000
Total Operations	$1,344,850	$712,650	$-632,200

MISSION

The Aviation Information Management program provides consistent and comprehensive financial and statistical data that portrays the results of individual air carrier operations and of the air transportation industry. The program's economic aviation data is a major component of the Department's multimodal transportation information resources because most interstate and foreign commercial passengers travel by air. The program provides centralized, economic aviation data and data access services for the Department by maintaining manual and automated data banks, generating recurrent listings and publications, creating and supporting direct user access to data banks and software services via computer terminals, developing informational and statistical presentations in response to specific user requests, and providing ADP support for former CAB functions. This program also fulfills the DOT obligation to collect certain air passenger movement statistics required by the Civil Aeronautics Board Sunset Act of 1984 (P.L. 98-443).

Current DOT users of aviation information, resources and services include: the Office of the Secretary (OST) and the Federal Aviation Administration (FAA). OST applications include; initial and continuing air carrier fitness; international air transportation including policy development, negotiations, route identification, carrier selection in restricted service markets, passenger fares and cargo rates, IATA agreements, and foreign air carrier permits; acquisitions and mergers; essential air service to isolated communities, Alaskan and international mail rates; consumer assistance; and industry monitoring. FAA applications include; aviation safety including surveillance, inspection and operational analysis; airport improvement funds allocation; airport policy development; airway and airport facilities requirements planning and forecasting; war air service; and aircraft loan guarantee monitoring. Also, the aviation data provides most of the facts that enable the U.S. to meet its treaty obligation to submit economic air transportation data to the International Civil Aviation Organization (Article 67 of the 1944 Chicago Convention).

OFFICE OF AVIATION INFORMATION MANAGEMENT

The data are used for programs in other Federal agencies including the Department of Air Force (ratemaking for military airlift contracts with participants in the civil reserve air fleet program), the Department of Commerce (estimation of gross national product and analysis of international transactions accounts), the Department of Labor (productivity studies and computation of the consumer price index), and the Department of Energy (monitoring industry fuel consumption for emergency preparedness purposes). The aviation information on airline capacity, traffic, and operating costs are used as a reliable source by aircraft manufacturers, air carriers, airports, researchers, academia, and the traveling public.

The level requested for FY 1987 will provide only for the minimum data requirements to support residual CAB functions transferred to the Office of the Secretary in FY 1985, but not including support of the Essential Air Service Program. In order to continue the aviation information management program's current data collection and information products and services provided to other users, however, it is necessary that RSPA be reimburised through charges assessed to both Federal Government programs and to private sector users who derive special benefits from the information.

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Aviation Information Management plans, implements, manages, and operates the DOT Aviation Information Management program which consists of the following functional areas with their associated objectives:

- Requirements Prescription - Identify the aviation financial and operational data required by DOT programs to fulfill their responsibilities under the law and, when alternative sources are not available, translate those requirements into air carrier reporting rules and forms.
- Information Management - Receive and validate hardcopy reports and ADP submissions, and process the information received into computer data bases and recurrent products such as summary publications, listings, tables, reports, and microfilm.
- Data Processing - Develop and maintain in-house information computer processing systems to support collection and dissemination of data and provide technical assistance and service to users.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

DOT data collection rules are being reviewed and changed to attune them with DOT regulation requirements. In FY 1986 rules will be completed or initiated with respect to Form 41 reports of financial and operational statistics, the passenger origin and destination survey, and domestic and international scheduled passenger traffic reports by service segment. In FY 1987 the service segment traffic data rule should be completed. It may implement a new collection of scheduled service traffic statistics from over 100 foreign air carriers. A Form 41 accounting system rule and a rule on data confidentiality should result in changes consistent with the industry's deregulated status.

RESOURCES

Permanent Positions. The following table shows the positions requested for the Office of Aviation Information Management.

	FY 1986 After Sequestering	FY 1987	Difference
Aviation Information Management	25	10	-15

A decrease of 15 positions ($490,400) reflects a realignment of Aviation data collection operations, including termination of support for the Essential Air Service program and elimination of RSPA funding for some services which will now be provided to users on a reimbursable basis, tentatively by arrangement with TSC.

Administrative Costs - The following table compares the administrative costs for Aviation Information Management in fiscal year 1986 with the amounts requested in fiscal year 1987:

	FY 1986 After Sequestering	FY 1987	Difference
Travel	$5,000	$4,200	$-800
Printing and Reproduction	$15,000	$14,000	$-1,000
Supplies and Materials	9,250	9,250	---
Total	$29,250	$27,450	$-1,800

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

PROGRAM FUNDS:

	FY-1986 After Sequestering	FY-1987	Difference
INFORMATION MANAGEMENT	$270,000	$130,000	$-140,000
1. ADP Support Services	$270,000	$130,000	$-140,000
TOTAL	$270,000	$130,000	$-140,000

Justification

1. ADP Support Services

The $130,000 request is the minimum to continue a basic aviation information management activity in FY 1987. It reflects the amount required to fulfill the legislative mandates of the CAB Sunset Act of 1984. Basic ADP support services to be acquired include preparation of the basic ticket data bank portion of the Passenger Origin and Destination Survey, preparation of a basic data bank of passenger non-stop service segment traffic statistics, and operation of a system to monitor air carrier reporting compliance. The FY 1987 reduction in ADP support funds now required to validate data, generate products, and carry out other important program activities is a portion of the program to be financed hereafter on a reimbursable basis by both Federal and non-Federal users.

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

BACKGROUND

The Hazardous Materials Technology Program is mandated by the Transportation Safety Act of 1974 and other legislation. This program provides the technical and analytical foundation necessary to support the Department's regulatory, enforcement, and emergency response activities in the area of hazardous materials transportation safety.

PROGRAM STRUCTURE AND OBJECTIVES

The Hazardous Materials Technology Program is structured in parallel with the Hazardous Materials Transportation Operations Program. The program elements and their associated research objectives are as follows:

1. Information and Analysis - Provide the solid technical information and analytical methodologies necessary for planning, evaluation, and implementation of regulatory activities.

2. Rulemaking - Provide the quantification necessary for rulemaking (e.g., hazard class definition); perform the research necessary to develop and substantiate standards; provide technical information necessary for evaluating petitions for rulemakings, approvals, exemptions, or for making inconsistency determinations.

3. Emergency Response - Provide the technical data and procedures necessary to update existing emergency response information or develop new materials showing the correct emergency response to a hazardous materials accident.

RESOURCES

The following summary table compares the fiscal year 1986 Hazardous Materials Technology Program with that requested for fiscal year 1987:

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

	FY 1986 After Sequestering	FY 1987	Difference
1. INFORMATION AND ANALYSIS	$355,000	$385,000	$+30,000
a. Develop new and validate or integrate existing automated data systems that support HM regulatory activities.	$115,000	$115,000	---
b. Develop methodologies for analyzing costs, risks, and impacts of planned/proposed regulatory activities. Identify and evaluate alternatives to rulemaking as solutions to safety problems.	240,000	270,000	$+30,000
2. RULEMAKING	$275,000	$315,000	$+40,000
a. Evaluate the integrity and operation of bulk and high risk hazardous material packaging. Develop and evaluate regulatory and non-regulatory solutions to safety deficiencies.	$165,000	$190,000	$+25,000
b. Develop and evaluate performance oriented design standards for existing and new hazardous materials packaging.	25,000	25,000	---
c. Develop, evaluate, and perform hazard class definition testing on hazardous materials.	85,000	100,000	+15,000

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

	FY 1986 After Sequestering	FY 1987	Difference
3. EMERGENCY RESPONSE	$25,000	$50,000	$+25,000
a. Develop/Revise Hazardous Materials Emergency Response Guidebook.	$25,000	$50,000	$+25,000
TOTAL	$655,000	$750,000	$+95,000

Justification

1. Information and Analysis

a. In FY-87, RSPA is requesting $115,000, the same funding level as planned for FY-86, to provide modifications and improvements to the hazardous materials portion of the Information System. Regulatory changes currently under review will significantly alter the reporting requirements and associated data bases within the Hazardous Materials Information System (HMIS). Software for data entry and attendant data base will be modified. Subsystems for automatic editing, detecting errors, making corrections, and validating incoming data will be developed. A subsystem to merge existing and newer data bases to maintain system continuity will have to be developed.

b. In FY-87, RSPA is requesting $270,000, an increase of $30,000 over that planned for FY-86, for analyzing costs, risks, and impacts of planned/proposed regulatory activities. This includes a broadening of capabilities initiated in FY-86 as a response to the new responsibilities imposed on DOT by the Nuclear Waste Policy Act (NWPA) of 1982. Transportation considerations are mandated throughout the Act. This Act paves the way and lays out a timetable for the construction of permanent Federal spent fuel repositories, or monitored retrieveable storage, and the transport of these spent fuels from the facilities of utilities to these storage sites. DOT must have the necessary analyses performed so as to be able to work with DOE, NRC, state and local governments, and affected Indian tribes at the various mileposts in the schedule. Specific agency responsibilities and relationships are formalized by a Memorandum of Understanding

Justification (Continued)

(MOU) between DOT and DOE which was executed in 1985. Studies to be initiated in FY-86 are: the feasibility of transporting spent fuels by various modes and the capability of the transportation industry to meet the potential transportation needs that will arise from implementation of the Act.

The NWPA activities are in addition to the continuing responsibilities in enhancing safety programs, such as assessing cargo tank safety and the study on state and local notification requirements completed in FY-85.

2. Rulemaking

In FY-87, RSPA is requesting $315,000, an increase of $40,000 over the level planned for FY-86, to support: (1) the evaluation of existing and the development of new shipping classification and packaging criteria for high risk hazardous materials such as highly toxic liquids; (2) the continuing verification of the technology necessary for developing performance-oriented standards; and (3) the development of improved hazardous materials classification criteria. The critical need for this work was identified by the discharge of methyl isocyanate (MIC) in Bhopal, India, resulting in the death of more than 2,000 people. The present criteria do not adequately evaluate and address the risk of such a material. Consequently, they allow packaging of questionable adequacy. Although RSPA had been developing new classification criteria for toxic materials and published a Notice of Proposed Rulemaking, HM-196, on February 7, 1985, the risk identified by the Bhopal accident emphasized the need for resolution of both the classification and packaging criteria for many categories of hazardous materials. This research is carried out in the following areas:

a. In FY-87, RSPA is requesting $190,000, an increase of $25,000 over the level planned for FY-86, to continue evaluating the integrity and operation of bulk and high risk hazardous materials packaging. A significant factor in the safe transportation of hazardous materials is the integrity of the operation of bulk and high risk hazardous materials packagings, such as cargo tanks, portable tanks, and compressed gas cylinders. As an example, cargo tanks are used for the bulk transport of vast quantities of hazardous liquids and gas commodities by highway. This transportation through towns and cities and over our nation's highways and railways results in the public's

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

Justification (Continued)

greatest exposure and potential risk from bulk quantities of hazardous materials. Annual incidents involving cargo tanks account for 79 percent of all deaths and 23 percent of all injuries sustained in hazardous materials transportation incidents. Severely restricting or banning such transportation is unacceptable, given the economic importance of the materials transported (e.g., gasoline). Therefore, it is vital to the public safety to assess the risk of such transport and ensure the integrity and safe operation of such transport vessels. For these reasons, the Department is conducting a long-term research and development effort to evaluate the level of packaging integrity and operational controls required to provide for the safe transportation of bulk and high risk hazardous materials.

b. In FY-87, RSPA is requesting $25,000, the same as the level planned for FY-86, to continue verifying the technology necessary for developing more performance oriented standards and to make our national standards more aligned with international standards for the transportation of hazardous materials.

c. In FY-87, RSPA is requesting $100,000, an increase of $15,000 from the $85,000 planned for FY-86, to continue evaluating hazardous materials to determine the hazards they pose in transportation, to evaluate the present criteria for the classification of hazardous materials, and to develop improved classification criteria. The fact that the present regulatory classification criteria do not adequately address the risk of materials such as MIC emphasizes the critical need for expanding the reevaluation of the risks associated with many hazardous materials and the development of improved or new classification criteria. This work includes the ongoing activity necessary to develop classification test standards for newly-developed materials.

3. Emergency Response

In FY-87, RSPA is requesting $50,000, an increase of $25,000 over the level planned for FY-86, to continue investigating the technology contained in the Emergency Response Guidebook (ERG) and provide current data for the next update as planned for FY-87. A triennial revision of the ERG is necessary for it to keep pace with the introduction of new materials, changes in hazardous class definitions, additions to the list of United Nations ID numbers, and changes in emergency action techniques.

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

BACKGROUND

The Pipeline Safety Technology Program is mandated by the Natural Gas Pipeline Safety Act of 1968, as amended, and by the Hazardous Liquid Pipeline Safety Act of 1979. With its principal emphasis on applied research, this program provides the technical and analytical foundation necessary to support the Department's rulemaking, training, and other regulatory activities in the areas of gas and liquid pipeline safety.

PROGRAM STRUCTURE AND OBJECTIVES

The Pipeline Safety Technology Program is structured in parallel with the Pipeline Safety Operations Program. The program's functional areas and their associated research objectives are as follows:

1. Information and Analysis - Provide the solid technical information and analytical methodologies necessary for planning, evaluation, and implementation of pipeline safety regulatory activities.

2. Rulemaking - Provide the technical basis for pipeline safety regulatory decision-making; perform technical evaluations of requests for waivers and siting proposals for LNG facilities.

RESOURCES

The following summary table compares the fiscal year 1986 Pipeline Safety Technology Program with that requested for fiscal year 1987.

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

	FY 1986 After Sequestering	FY 1987	Difference
1. INFORMATION AND ANALYSIS	$165,000	$195,000	$+30,000
a. Develop new and validate or integrate existing automated data systems to support pipeline regulatory activities.	$115,000	$115,000	---
b. Develop methodologies, for analyzing regulatory/enforcement alternatives, risks, costs and other impacts associated with planned/proposed pipeline safety problems.	50,000	80,000	$+30,000
2. RULEMAKING	$372,000	$430,000	$+58,000
a. Evaluate new pipeline component technology.	---	$50,000	$+50,000
b. Conduct LNG spill tests at the DOE National Test Site, Nevada (using LNG).	222,000	230,000	+8,000
c. Re-evaluate the safety requirements of highly volatile liquid pipelines as compared to those for gas pipelines.	150,000	150,000	---
TOTAL	$537,000	$625,000	$+88,000

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

Justification

1. Information and Analysis

   a. In FY 1987, RSPA is requesting $115,000, the same amount as in FY 1986. In FY 1985, a review was conducted in response to NTSB recommendations and congressional interest. As a result,the pipeline data base will be modified and improved to help determine the need for regulatory changes. The data base will continue to be used for prioritizing inspection efforts. The data base captures information and statistics which point to the areas where investigations and inspections are needed. Changes in information reported will require a restructuring of the associated data bases. Subsequent to that, there needs to be a major effort to merge current and new data bases to provide for system continuity. Considerable improvements have been made in automating the data validation methods used to insure accuracy of the system. Such system enhancement activities will continue in FY 1987.

   b. The FY 1987 funding will be at the level of $80,000 to provide for continuing responsibilities in pipeline safety assessment and system performance. The major focus in FY 1987 will be on the effectiveness of damage prevention programs to alleviate the risks of external force damage. This assessment will identify further opportunities for safety enhancement--both within and outside the regulatory framework. The examination of the efficacy of the changes in gas pipeline reporting requirements will also be continued.

2. Rulemaking

   a. In FY 1987 RSPA is requesting $50,000, to evaluate pipeline components where the use of new materials/components raises safety questions. It is not possible to predict specific tasks in advance. However, in FY 1983 for example, RSPA studied the characteristics of steel pipe intended for arctic use. In FY 1984 a study was made of the effects on a pipeline of repeated/periodic hydrotesting. A study of the effects of hydrogen sulfide (H_2S) on pipe and other pipeline components was initiated in FY 1986. Similar studies will be initiated as required in FY 1987.

Justification (Continued)

b. The $230,000 requested for this project in FY 1987 will fund the second year of a two-year test at the Department of Energy's National Test Site in Nevada. The testing will measure the dispersion of vapor from three large scale ($100m^3$ each) spills of LNG. The FY 1986 funding is being used to cover the cost of modifying existing on-site tanks, instrumentation, and supporting facilities to meet specific test requirements. This includes constructing earthen and fireproof fencing structures to contain the spill, modifying the purge system, modifying the tanks which hold and release the LNG, modifying the instruments to provide additional information and procuring the LNG for one test. The funding planned for FY 1987 covers the procurement of LNG for two tests and completion of the tests using facilities and equipment established in FY 1986. In FY 1988 we plan to correlate the LNG spill test data with the previous data and theories developed from wind tunnel and model work, sponsored by RSPA in the United Kingdom (in FY 1983 and FY 1984) and verify the actual, full scale work conducted in Neveda in FY 1986 and FY 1987. Estimated costs are:

FY 1986	FY 1987	FY 1988	TOTAL
$222,000	$230,000	$100,000	$552,000

The purpose of this research is to develop the technical basis for validating and revising one of the critical national standards for siting LNG facilities. We are obtaining many returns from our investment by building on the research begun by others in England. Futher, the parallel research being sponsored by the Gas Research Institute is supplementing our investigations. The combined funding history is as follows:

Prior to FY 1986, RSPA expended $633,000 on this research. Other organizations, including USCG, FRA, GRI, and the British Government and private organizations expended about $1,000,000. In FY 1986, GRI is co-funding $500,000, and DOE an amount yet to be determined. In FY 1987, the GRI budget amount is $230,000. The British sources have not finalized their expected contribution. For FY 1988, GRI is again budgeting $230,000; no funds are expected from DOE, but British sources may provide additional co-funding.

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

c. In FY 1987, RSPA is requesting $150,000, the same level of funding as planned for FY 1986, to fund follow-on activities which will be defined during the initial phase (begun in FY-86) of a study of the requirements of Federal safety standards, 49 CFR, Part 195, governing highly volatile liquid (HVL) pipelines as compared with requirements for gas pipelines, 49 CFR, Part 192. As noted in the FY 1986 Budget submission, there is a potential for disparity in the requirements of the two categories of standards which is due, in part, to a peculiar characteristic of HVL--when released, it behaves with some of the characteristics of a gas but it is heavier than air and natural gas. Limited accident experience shows the HVL pipelines may constitute a hazard as significant as gas pipelines. Comparisons of the two categories of requirements will be made with respect to outside force induced ruptures as well as by degradation mechanisms such as corrosion fatigue, slow stable crack growth, and weld defects. The study will seek to establish whether there is a relative differential in safety between pipelines carrying HVL and those carrying natural gas, and the extent to which the standards should be modified or augmented. It is expected that the study will be completed in FY 1987, unless as yet unforeseen issues arise during the conduct of the research.

OFFICE OF EMERGENCY TRANSPORTATION

BACKGROUND

The Emergency Transportation Research and Development Program improves DOT's capability to measure the impact of crisis conditions on the civil transportation system. The focus is on interstate and international transportation resources, the areas most likely to require Secretarial direction and control during emergencies. The Program: 1) develops key data on all domestic and certain international transportation facilities; 2) accesses the data from emergency operating sites, including certain classified international locations; and 3) conducts rapid transportation "demand/capacity" assessments. Based upon national economic levels the model calculates the tons of products and ton miles of transportation demanded by consumers and compares this demand to the available civil transportation capacity. The FY 1987 program continues mobilization-related assessments and planning.

PROGRAM STRUCTURE AND OBJECTIVES

The Emergency Transportation Research and Development Program is composed of two elements: Emergency Data and Systems and Mobilization Preparedness. The program elements and their associated research objectives are as follows:

1. Emergency Data and Systems - Provides technical information and analytical tools capable of:

    (a) assessing the overall impact of national security and domestic emergencies on freight and passenger movement; and

    (b) assessing the damage on critical parts of our domestic and international civil transportation system under a wide variety of crisis situations in order to implement sound, effective, and timely responses to such crises.

RESEARCH AND DEVELOPMENT

OFFICE OF EMERGENCY TRANSPORTATION

2. Mobilization Preparedness - Develops and maintains DOT plans, policies, and procedures to provide civil transportation resources to support a major military deployment. Conducts analysis of issues generated by the Emergency Mobilization Preparedness Board (EMPB) which impact upon DOT. Assures that the DOT planning effort reflects the policies prescribed in National Security Decision Directive 47, "Emergency Mobilization Preparedness" and National Security Decision Directive 26, "Civil Defense" and meets EMPB timetables for accomplishing plans of action.

Program Funds

The following annotated table compares the Fiscal year 1986 Emergency Transportation R&D Program with that requested for Fiscal year 1987.

	FY 1986 After Sequestering	FY 1987	Difference
1. EMERGENCY DATA AND SYSTEMS	220,000	$210,000	$-10,000
a. Data Base Development	$175,000	$165,000	$-10,000
b. Demand/Capacity Model Development	45,000	45,000	---
2. MOBILIZATION PREPAREDNESS	$20,000	$20,000	---
TOTAL	$240,000	$230,000	$-10,000

Justification

1. Emergency Data and Systems - This program provides DOT with the capability to develop and analyze pertinent transportation data to support decisionmaking in responding to emergency situations. The program consists of two principal projects which are described as follows:

OFFICE OF EMERGENCY TRANSPORTATION

Justification (continued)

a. Data Base Development - The Emergency Transportation Data Base is a repository of selected multi-modal information on key transportation facilities which will be used to provide information on the status of these facilities during and after a civil disaster or a defense-oriented emergency, including post-nuclear attack damage estimates. The current data base requires additional data sets for select key modal facilities in order to make analyses that are reasonably complete. Periodic updating of existing files is also needed. This includes adding, correcting, or deleting data and making software modifications. During Fiscal year 1987, the level of funding will permit a total update of the extensive rail data base. It will provide for review and expansion/deletion of data base attributes for existing data bases and improve data availability due to a revised procedure for handling DOT data prior to submission to FEMA. The procedure will require additional handling by DOT but will provide better control of the data submitted and will improve update turnaround time.

b. Emergency Transportation Demand/Capacity Model - This model converts expected national and military economic activity into tons and ton-miles of civil transportation demand by mode in any actual or scenario year. The model also compares demand with civil transportation capacity and projects surplus or shortfalls. In FY-1987, work will be directed at integrating direct DOD mobilization movement demands into the model.

2. Mobilization Preparedness - This project will complete development of all parts of the Transportation Mobilization Contingency Plan to assure the effective use of civil transportation services required to support a national mobilization. Responding to Presidential Directive 47, the plan will address the transportation aspects of a "full" mobilization. 1/The DOT plan, which involves all Federal transportation-related agencies, will explicitly address the extent and methods of direction and control that must be exercised by the Secretary in order to meet civil transportation demand generated by Defense troop and equipment movement requirements, industrial production surge, and the essential needs of the civilian economy.

1/ This direction is contained in the National Security Decision Document 47, "Emergency Mobilization Preparedness" which states: "The development of the structure of policies, plans, authorities, and requirements for full mobilization should receive priority attention."

RESEARCH AND DEVELOPMENT

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

COMMUNICATIONS AND RADIONAVIGATION PROGRAM

BACKGROUND

A principal objective of the Department of Transportation as expressed in the enabling DOT Act (P.L. 97-449) is to improve the safety and efficiency of transportation. Communications in the form of both radionavigation and radiocommunication systems is a major factor in transportation system safety and efficiency. The DOT is the primary government provider of radionavigation systems for use by the civil community. Further, DOT also provides and operates certain systems for the DOD. DOD also develops and operates radionavigation systems for its own use, some of which may be utilized by the civil community. Continued planning and coordination is essential within DOT, and also with DOD, if radionavigation systems are to be developed for servicing an increasing user community, reducing costs, and minimizing the proliferation of systems.

There is ongoing pressure by the Congress, GAO, OMB, and the user community to carefully examine the potential of new navigation systems such as GPS as a possible replacement for existing systems such as VOR, LORAN-C, and TRANSIT.

New navigation user groups vital to the U. S. economy have been identified in the course of joint DOD and DOT navigation planning process. These groups are the offshore industry, the land mobile users and the surveying community. Their requirements are intermeshed with the transportation industry as a whole. The offshore industries share the congested waters of the U.S. with maritime transportation and use the same radionavigation systems. The land mobile community has unique requirements for moving hazardous materials over highways and in remote areas. The surveying community lays out environmentally and economically prudent routes for transportation. These user groups are at the emerging forefront of technology in navigation using the latest in satellite systems. Prior to the RSPA involvement, there was no government body charged with ensuring that safe and accurate navigation services were provided to these communities.

PROGRAM STRUCTURE AND OBJECTIVES

The Communications Program consists of the following functional areas with their associated objectives.

1. Multimodal Planning and Policy Analysis - GPS will be operational for military use in FY 1988, however, there are many important technical, safety and economic issues which must be addressed before GPS can meet civil navigation requirements. These critical areas include system accuracy, coverage, integrity, and user costs. Due to

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

COMMUNICATIONS AND RADIONAVIGATION PROGRAM

safety and international acceptance issues, it does not appear that any single system will meet all navigational needs. A systems mix of privately operated and Federally-operated navigation systems will continue. Accordingly, additional analysis and adjustment of the Federal Radionavigation Plan will be necessary over the next several years to determine the most cost-effective mix of radionavigation systems.

2. GPS Systems Integration - The GPS accuracy available to the civil user is not sufficient to meet all the needs of harbor navigation and land transportation. RSPA has been working on enhancement techniques such as Differential GPS which will provide the required accuracy. New operational procedures will be required to fully integrate GPS within the marine and air user community. RSPA, through its previous experience in GPS testing and analysis, will be able to advise Coast Guard and FAA, thereby accelerating the process.

3. Evaluation of Alternative Systems - There are alternatives or supplements to GPS that may be more economical for the civil land, air and marine user. These alternatives include: a) a mix of current systems; b) use of systems such as the proposed European Space Agency's NAVSAT, the Soviet Global Navigation System (GLONASS); and c) the use of commercial systems such as Geostar, Mobilesat, Omninet and others. These alternatives must be explored and evaluated before a national decision on the future of U.S. operated radionavigation systems can be made. This task is funded through FY 1986 only.

RESEARCH AND DEVELOPMENT

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

COMMUNICATIONS AND RADIONAVIGATION PROGRAM

PROGRAM FUNDS	FY 1986 After Sequestering	FY 1987	Difference
1. MULTIMODAL PLANNING AND POLICY ANALYSIS	$245,000	$200,000	$-45,000
a. Multimodal Radionavigation Planning	$115,000	$100,000	$-15,000
b. Radionavigation Economic Planning Model and Public Hearings	130,000	100,000	-30,000
2. GPS SYSTEMS INTEGRATION	$190,000	$250,000	$+60,000
a. GPS Analysis	$40,000	$50,000	$+10,000
b. GPS Integration	150,000	200,000	+50,000
3. EVALUATION OF ALTERNATIVE SYSTEMS	$50,000	---	$-50,000
a. Evaluate Mixes of Current Systems	$50,000	---	$-50,000
TOTAL	$485,000	$450,000	$-35,000

RESEARCH AND DEVELOPMENT

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

COMMUNICATIONS AND RADIONAVIGATION PROGRAM

JUSTIFICATION

1. Multimodal Planning & Policy Analysis

   a. Multimodal Radionavigation Planning - The Federal Radionavigation Plan (FRP) is a joint DOD/DOT planning document. The FRP is updated on a biennial basis as was agreed to by both Departments through a memorandum of understanding signed in October 1984. The 1986 edition of the FRP will establish the basis for reaching a national decision in 1987 on which radionavigation systems will comprise the future systems mix. It will address the cost and safety issues related to the use of government and privately provided radio determination services. It is important that this document reach the public by the end of 1986 so that the national decision can be made in 1987. The FRP will also provide current status and policy concerning the civil use of GPS which will be operational in 1988.

   b. Radionavigation Economic Planning Model and Public Hearings - This model is the primary tool to evaluate Radionavigation systems cost to the Government and the cost to users of any change in systems. Funding is required to operate the model with various scenarios to answer questions of economics in arriving at the national decision on radionavigation services. The model will be updated to reflect the latest cost data.

2. GPS Analysis and Implementation

   a. GPS Analysis - Data gathered during FY 1985 by RSPA and data collected by other groups remain to be analyzed. During the FY 1985 tests, in urban areas significant blocking of satellite signals by building structures was found. Aided by supplementary systems, this limitation in the use of GPS may be overcome. This will have an impact in such areas as harbor navigation and automatic vehicle location systems.

   b. GPS Integration - The principal focus of the RSPA Telecommunications Program has been the integration of GPS within the civil community. Integration of GPS in some areas is difficult due to accuracy restraints placed on the system. DOD has encouraged the development of differential GPS as an alternate to the civil use of the Precise Positioning Service (PPS). In FY 1985 RSPA began development of algorithms for differential system as part of a Coast Guard/RSPA Test Program. Initial testing of this system was begun in FY86. Additional work in the communications link must be accomplished by RSPA.

3. Evaluate Alternative System

   a. Evaluate Mixes of Current Systems - This evaluation is scheduled to be completed in FY86 in support of the Secretary's decision on LORAN-C expansion in the mid-continent area.

RESEARCH AND DEVELOPMENT

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

TRANSPORTATION STATISTICS, DATA, AND INFORMATION PROGRAMS

Program Funds

The following summary table compares the FY 1986 Transportation Statistics, Data, and Information Program with that requested in FY 1987.

	FY 1986 After Sequestering	FY 1987	Difference
TRANSPORTATION STATISTICS	$147,500	---	$-147,500
1. Transportation Information Publications	147,500	---	-147,500

Justification

TRANSPORTATION STATISTICS - This program previously performed and funded in the Research and Development area is now considered an operational program; thus the FY 1987 requirements are shown in the operations section of this budget request.

NATURAL GAS AND HAZARDOUS LIQUID PIPELINE SAFETY GRANT-IN-AID PROGRAM

BACKGROUND

The Research and Special Programs Administration has recommended a merger of the natural gas program and the hazardous liquid programs into one grant-in-aid program. While not requesting additional dollars for the merged program, RSPA believes that such a merger will give states increased flexibility by allowing a state to proportionally direct pipeline safety dollars to those pipelines which warrant attention, whether oil or natural gas. Therefore, if a state determines that natural gas pipelines represent the primary pipeline concern in the state, it should spend the entire allocation on that pipeline. On the other hand, if it chooses to allocate dollars to oil pipelines, it may do so.

RSPA believes that the $4.5 million requested will assure a Federal/State Pipeline Safety Program that achieves the purpose of the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Act of 1979.

PROGRAM STRUCTURE AND OBJECTIVES

Grants are awarded to qualified applicants on a calendar year basis. States (defined to include Puerto Rico and the District of Columbia) may qualify in either of the two ways described below:

1. State Certifications - States certified under section 5(a) of the NGPSA assume regulatory and enforcement authority over intrastate gas pipeline facilities. To qualify, a state must have adopted gas pipeline regulations at least as stringent as the Federal standards and must provide for injunctive and monetary sanctions substantially the same as those authorized by sections (11) and (12) of the NGPSA. In 1984, 47 of the 53 eligible state jurisdictions participated in the Federal gas pipeline safety program under section 5(a) certifications.

2. State Agreements - State agencies which do not satisfy the criteria for a 5(a) certification may enter into a 5(b) agreement to undertake certain aspects of a gas pipeline safety program for intrastate facilities on behalf of the Department. Under a section 5(b) agreement, a state agency will conduct surveillance of pipeline operators to ascertain compliance with Federal safety standards. Any probable violations are reported to the Department for Federal enforcement action. In 1984, three states held 5(b) agreements: Delaware, Massachusetts, and New Jersey. Alaska, South Dakota and Idaho are not participating in the program under Section 5(a) or 5(b).

GRANTS

NATURAL GAS AND HAZARDOUS LIQUID PIPELINE SAFETY GRANT-IN-AID PROGRAM

The primary objective of the Natural Gas and Hazardous Liquid Pipeline Safety Grant-In-Aid Program is to create a Federal/state partnership in pipeline safety by which each partner executes regulatory responsibilities. It is an appropriate Federal role to establish a consistent, nation-wide body of pipeline safety standards. A division of rulemaking authority would subject industry to the costs of attempting to comply with multiple, and possibly inconsistent, regulatory systems. With regard to enforcement, the Federal role (as set forth in the Commerce Clause of the Constitution) is properly focused on interstate transportation. Intrastate enforcement is a role for state governments. Most states have resources devoted to the enforcement of intrastate transportation safety. With technical assistance training from the Federal government, which establishes the safety standards, the states are in the best position to enforce the standards on intrastate pipelines in the most cost-effective manner.

In enacting the NGPSA, Congress recognized a need to reduce the financial burden on the states of enforcing Federal regulations and therefore included section (5) which authorizes the Secretary of Transportation to reimburse states up to 50 percent of their program costs. This funding mechanism provides a continuing incentive for state participation in the program which, in turn, ensures a level of compliance activity far in excess of that which could be provided directly by the Federal government with the same amount of funds.

The Hazardous Liquid Pipeline Safety Act of 1979 (HLPSA) vested the Secretary of Transportation with authority to regulate both interstate and intrastate pipeline transportation of hazardous liquids. Section 205 of the HLPSA further provides for states to assume regulatory responsibility for intrastate pipeline facilities under a system of annual certifications similar to that employed under the intrastate natural gas Federal/State program. Therefore, the RSPA has worked for the mergers of the two pipeline programs.

Program Funds

	FY 1986 After Sequestering	FY 1987	Difference
NATURAL GAS PIPELINE SAFETY GRANT-IN-AID PROGRAM	$4,306,500	$4,500,000	$+193,500

In FY-87, the Research and Special Programs Administration is requesting $4,500,000, to fund the natural gas and hazardous liquid pipeline safety grant-in-aid program per the Natural Gas Pipeline Safety Act of 1968.

WORKING CAPITAL FUND

TRANSPORTATION SYSTEMS CENTER

APPROPRIATION JUSTIFICATION SUMMARY STATEMENT

For FY87 the Transportation Systems Center (TSC) is requesting a full-time equivalent ceiling of 239 This assumes privatization of TSC by mid FY 1987 (April 1, 1987).

Although TSC is a part of the Research and Special Programs Administration, it conducts research and analysis for all elements of the Department and is the DOT's R&D Center for conducting projects in all fields and modes of transportation. Projects assigned to TSC are based on Congressionally approved programs that require the Center's technical and analytical skills. These projects are conducted by TSC using a combination of in-house staff with private sector and university resources in full accordance with the guidelines of OMB Circular A-76. TSC works closely with its sponsoring organizations and participates in many of the highest priority projects in DOT.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
TRANSPORTATION SYSTEM CENTER
WORKING CAPITAL FUND

PROGRAM AND FINANCING (In Thousands of Dollars)

Identification code 69-4522-0-4-407	19 85 actual	19 86 estimate	19 87 estimate
Program by Activities:			
10.00 Total Obligations	76,065	70,000	42,900
Financing:			
Offsetting collections from:			
11.00 Federal funds	-58,884	-50,534	-19,567
13.00 Trust funds.	-12,344	-10,593	-4,333
17.00 Recovery of prior year obligations	-827	---	---
21.98 Unobligated balance. . . . . available, start of year .	-31,883	-27,873	-19,000
24.98 Unobligated balance available, end of year . .	27,873	19,000	---
39.00 Budget authority	----	----	----
Relation of obligations to outlays:			
71.00 Obligations incurred, net. .	4,837	8,873	19,000
72.98 Obligated balance, start of year	24,018	27,565	21,438
74.98 Obligated balance, end of year.	-27,565	-21,438	-5,000
78.00 Adjustments in unexpired accounts	-827	---	---
90.00 Outlays	463	15,000	35,438

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
TRANSPORTATION SYSTEM CENTER
WORKING CAPITAL FUND

OBJECT CLASSIFICATION (In Thousands of Dollars)

Identification code 69-4522-0-4-407		19 85 actual	19 86 estimate	19 87 estimate
	Personnel compensation:			
11.1	Full-time permanent . . .	19,291	19,036	10,179
11.3	Other than full-time permanent.	771	780	362
11.5	Other personnel compensation	228	233	109
11.9	Total personnel compensation	20,290	20,049	10,650
12.1	Personnel benefits: Civilian	2,347	2,321	1,063
13.0	Benefits to former personnel	32	---	8,500
21.0	Travel and transportation of persons	936	1,079	595
22.0	Transportation of things	87	90	50
23.3	Communications, utilities, and miscellaneous charges	2,514	2,800	1,450
24.0	Printing and reproduction	308	310	160
25.0	Other services.	43,686	37,001	17,182
26.0	Supplies and materials. .	1,263	1,350	700
31.0	Equipment	4,498	4,900	2,500
32.0	Lands and structures. . .	104	100	50
99.9	Total obligations . . .	76,065	70,000	42,900
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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
TRANSPORTATION SYSTEM CENTER
WORKING CAPITAL FUND

PERSONNEL SUMMARY

Identification code 69-4522-0-4-407	19 85 actual	19 86 estimate	19 87 estimate
Total number of full-time permanent positions	527	527	---
Total compensable workyears:			
Full-time equivalent employment . .	541	525	239
Full-time equivalent of overtime and holiday hours	3	3	2

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U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1987

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

The Saint Lawrence Seaway Development Corporation is hereby authorized to make such expenditures, within the limits of funds and borrowing authority available to the Corporation, and in accord with law, and to make such contracts and commitments without regard to fiscal year limitations as provided by section 104 of the Government Corporation Control Act, as amended, as may be necessary in carrying out the programs set forth in the Corporation's budget for the current fiscal year except as hereinafter provided.

(Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190).

STANDARD FORM 300
[illegible]

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Program and Financing (in thousands of dollars)

Identification code 69-4089-0-3-403	19 85 [illegible]	19 86 [illegible]	19 87 [illegible]
Program by activities:			
Operating expenses:			
1. Administrative expenses (limitation)	1,702	1,816	1,890
2. Operations	7,155	11,608	8,070
Total operating expenses	8,859	13,450	10,000
Capital investment:			
3. Replacements and improvements	1,366	1,550	1,000
10.00 Total Obligations	10,202	15,000	11,000

9

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Program and Financing (in thousands of dollars)

69-4089-0-3-403	19 85	19 86	19 87
Financing:			
14.00 Offsetting collections from			
Non-Federal Sources:			
Revenue	-11,059	-9,900	-10,600
Unobligated balance available, start of year:			
21.47 Authority to borrow	- 3,200	-3,200	- 3,200
21.98 Fund Balance	-11,104	-11,862	- 6,862
Unobligated balance available, end of year:			
24.47 Authority to borrow	3,200	3,200	3,200
24.98 Fund Balance	11,862	6,862	5,462
39.00 Budget Authority	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	- 758	5,000	1,400
72.98 Obligated balance, start of year: Fund Balance	536	781	781
74.98 Obligated balance, end of year: Fund Balance	- 781	- 781	- 781
90.00 Outlays	- 1,003	5,000	1,400

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Program and Performance Statement

The Saint Lawrence Seaway Development Corporation is a wholly owned Government Corporation responsible for the operation, maintenance and development of the United States portion of the St. Lawrence Seaway between Montreal and Lake Erie. Major priorities are to control Seaway Corporation costs and to encourage increased use of the Seaway system. The Seaway Corporation is focusing on ways to promote and market the Seaway system. The Corporation's 1987 budget reflects the activities to accomplish these objectives as follows:

> Administrative expenses (limitation). - This program provides for management and administration of the Corporation.
>
> Operations. - The program provides for operation of all facilities and for planning, engineering and development activities. Operations are conducted on a 24-hour day, 7-day week with maintenance functions being performed throughout the year.
>
> Replacements and improvements. - This program provides for necessary replacement of aging equipment, machinery, and tools in addition to continuing improvements toward a safer and more economical system.

On the basis of current traffic projections and no increase in toll levels, the Corporation estimates its revenues for 1987 to reach approximately $10.6 million, which it proposes to apply as follows: (1) $10.5 million for operations consisting of $2.0 million for administrative expenses and $8.5 million for operations, maintenance and development, and (2) $0.1 million together with $1.4 million in reserve funds for replacements and improvements. There are no new programs budgeted for 1987.

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Revenue and Expense (in thousands of dollars)

Identification code	19 85 actual	19 86 estimate	19 87 estimate
Operating income or loss (-):			
Operating program:			
Revenue:			
Shipping tolls	9,717	9,000	9,800
Other	1,342	900	800
Total revenue	11,059	9,900	10,600
Expense:			
Administrative	1,782	1,916	1,990
Operations	6,870	11,234	8,760
Total expense	8,652	13,150	10,750
Net operating income	2,407	- 3,250	- 150
Nonoperating income or loss (-):			
Provision for depreciation and losses	1,975	2,000	2,000
Net nonoperating loss	-1,975	-2,000	-2,000
Net income or loss (-) for the year	432	-5,250	-2,150

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Financial Condition (in thousands of dollars)

Identification code	1984 Actual	1985 actual	1986 estimate	1987 estimate
Assets:				
Selected assets: Fund balance................	11,641	12,644	7,644	6,244
Accounts receivable, net....	1,138	718	718	718
Accrued tolls, receivable unbilled..................	300	328	328	328
Selected assets, supplies	535	601	601	601
Fixed assets, net...........	97,043	96,996	96,746	95,996
Total assets	110,657	111,287	106,037	103,887
Liabilities: Selected liabilities: Accounts payable including funded accrued liabilities..............	1,181	1,379	1,379	1,379
Government Equity: Selected equities: Unexpended budget authority:				
Unobligated balance:				
Regular.................	9,304	9,361	4,361	2,961
Reserve.................	5,000	5,700	5,700	5,700
Undelivered orders........	794	449	449	449
Unfinanced budget authority:				
Borrowing authority.......	-3,200	-3,200	-3,200	-3,200
Invested capital...........	97,578	97,598	97,348	96,598
Total Government equity..	109,476	109,908	104,658	102,508

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Financial Condition (in thousands of dollars)

Identification code	19 85 actual	19 86 estimate	19 87 estimate
Analysis of changes in Government equity:			
Paid-in capital: Opening balance......	109,976	109,976	109,976
Closing balance......	109,976	109,976	109,976
Deficit:			
Opening balance......................	- 500	- 68	- 5,318
Net income or loss (-)...............	432	- 5,250	- 2,150
Closing balance......................	- 68	- 5,318	- 7,468
Total Government Equity (end of year)............................	109,908	104,658	102,508

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-4089-0-3-403		1985 actual	1986 estimate	1987 estimate
	Personnel compensation:			
11.1	Full-time permanent	4,007	4,254	4,426
11.3	Other than full-time permanent	243	254	261
11.5	Other personnel compensation	244	253	260
11.8	Special personal services payments	12	15	20
11.9	Total personnel compensation	4,506	4,776	4,967
	Personnel benefits:			
12.1	Civilian	714	755	785
~~13.0~~	~~Benefits for former personnel~~			
21.0	Travel and transportation of persons	204	220	230
~~22.0~~	~~Transportation of things~~			
23.1	Standard level user charges	40	40	61
23.2	Rental payments to others	28	28	28
23.3	Comm., Util., and misc. charges	227	236	245
24.0	Printing and reproduction	36	38	40
25.0	Other services	635	4,526	1,258
26.0	Supplies and materials	736	865	896
31.0	Equipment	741	593	523
32.0	Lands and structures	653	907	977
~~33.0~~	~~Investments and loans~~			
~~41.0~~	~~Grants, subsidies, and contributions~~			
~~42.0~~	~~Insurance claims and indemnities~~			
~~43.0~~	~~Interest and dividends~~			
~~44.0~~	~~Refunds~~			
93.0	Administrative expenses (see separate schedule)	1,782	1,916	1,990
99.9	Total obligations	10,302	14,900	12,000

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION
ADMINISTRATIVE EXPENSES
PERSONNEL SUMMARY

Identification code	19 85 actual	19 86 estimate	19 87 estimate
Total number of full-time permanent positions	155	155	155
Total compensable workyears:			
Full-time equivalent employment	151	157	157
Full-time equivalent of overtime and holiday hours	11	12	12

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
[illegible]

Saint Lawrence Seaway Development Corporation
Reduction Pursuant To Public Law 99-177
Program and Financing (in thousands of dollars)

Identification code 69-4089-6-3-403	19 85 actual	19 86 estimate	19 87 estimate
Program by activities			
10.00 Total obligations................	-	-641	-
Financing:			
25.00 Reduction in new spending authority (offsetting collections).....................	-	+641	-
39.00 Budget authority..............	-	0	-
Relation of obligations to outlays:			
71.00 Obligations incurred, net........	-	-641	-
72.98 Obligated balance, start of year: Fund balance.....................	-	-	-3
74.98 Obligated balance, end of year: Fund balance.....................	-	3	-
90.00 Outlays.......................	-	-638	-3

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

GPO : [illegible]

LIMITATION ON ADMINISTRATIVE EXPENSES, SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

$1,990,000

Not to exceed $1,916,000 shall be available for administrative expenses which shall be computed on an accrual basis, including not to exceed $3,000 for official entertainment expenses to be expended upon the approval or authority of the Secretary of Transportation: *Provided*, that Corporation funds shall be available for the hire of passenger motor vehicles and aircraft, operation and maintenance of aircraft, uniforms or allowances therefor for operation and maintenance personnel, as authorized by law (5 U.S.C. 5901-5902), and $15,000 for services as authorized by 5 U.S.C. 3109.

(Department of Transportation and Related Agencies Appropriations Act, 1986, as included in Public Law 99-190)

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Administrative Expenses-Program and Financing (in thousands of dollars)

Identification code	19 85 actual	19 86 estimate	19 87 estimate
Program by activities:			
Administration (total accrued expenses - costs)..................	1,782	1,916	1,990
Financing:			
Unobligated balance lapsing..........	10	...	...
Limitation..........................	1,792	1,916	1,990
Relation of obligations to outlays:			
Obligations incurred, net..........	1,782	1,916	1,990
Obligated balance, start of year:............................	51	53	55
Obligated balance, end of year:............................	- 53	- 55	- 57
Outlays from limitation............	1,780	1,914	1,988

GPO : 1971 O - 443-317

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-4089-0-3-403	19 85 actual	19 86 estimate	19 87 estimate
Personnel compensation:			
11.1 Full-time permanent	1,154	1,200	1,248
11.3 Other than full-time permanent	7	10	10
~~11.5 Other personnel compensation~~			
11.8 Special personal services payments	3	3	3
11.9 Total personnel compensation	1,164	1,213	1,261
Personnel benefits:			
12.1 Civilian	151	156	163
~~13.0 Benefits for former personnel~~			
21.0 Travel and transportation of persons	166	175	185
~~22.0 Transportation of things~~			
23.1 Standard Level User Charges......	39	39	61
23.3 Comm., Util., and misc. charges..	70	78	80
24.0 Printing and reproduction	15	40	35
25.0 Other services	108	125	115
26.0 Supplies and materials	69	90	90
~~31.0 Equipment~~			
~~32.0 Lands and structures~~			
~~33.0 Investments and loans~~			
~~41.0 Grants, subsidies, and contributions~~			
~~42.0 Insurance claims and indemnities~~			
~~43.0 Interest and dividends~~			
~~44.0 Refunds~~			
93.0 Administrative expenses included in schedule for fund as a whole	-1,782	-1,916	-1,990
99.0 Total obligations	...	...	...

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION
ADMINISTRATIVE EXPENSES
PERSONNEL SUMMARY

Identification code	19 85 actual	19 86 estimate	19 87 estimate
Total number of full-time permanent positions............................	37	37	37
Total compensable workyears: Full-time equivalent employment...............	39	39	39

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.

Saint Lawrence Seaway Development Corporation
Reduction Pursuant To Public Law 99-177
Program and Financing (in thousands of dollars)

Identification code	1985	1986	1987
Program by activities:			
Administration (total accrued expenses - costs)........................	-	-82	-
Financing:			
Limitation (reduction)...........	-	-82	-
Relation of obligations to outlays:			
Obligations incurred, net.............	-	-82	-
Outlays from limitation..........	-	-82	-

These reductions are required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

Department of Transportation

Saint Lawrence Seaway Development Corporation

General Justification of Budget Program

The Saint Lawrence Seaway Development Corporation is a wholly owned Government Corporation responsible for the operation, maintenance and development of the U.S. portion of the St. Lawrence Seaway between Montreal and Lake Erie and pursues programs designed to enhance the effectiveness of the Seaway through encouraging increased use of the Seaway system. Corporation objectives are to continue to operate the System in a safe, reliable and efficient manner from funds received from user charges, while continuing to interface with a multitude of diverse interests that share the common goal of expanding commerce on the Great Lakes/Seaway system. To support these objectives the following programs are proposed in Fiscal Year [illegible].

Summary of Budget Year Program

Administrative Expenses Program	$ [illegible]
Operations Program	[illegible]
Replacements and Improvements Program	[illegible]
Total Costs for Budget Year	$[illegible]

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Justification for Administrative Expenses Program

Subject to Congressional Limitation

The Administrative Expenses Program consists of executive management and administration of the Corporation, and includes finance, legal, civil rights, procurement, personnel administration and other related administrative support services. This activity includes not to exceed $15,000 for unprogrammed consulting services. In FY 1987 $63,000 from this activity will finance services provided by the Office of the Secretary's Working Capital Fund. The Corporation's overall goals and objectives are reflected in this program with priority emphasis on good management for the effective utilization of revenues.

This budget includes reductions in the FY 1986 Administrative Expenses Limitation associated with the Balanced Budget and Emergency Deficit Control Act of 1985. The reductions ($82,000) will result in a revised funding level of $1,834,000. The FY 1987 requirement of $1,990,000 represents annualization, inflationary costs and normal recurring costs necessary to support the objectives of the Corporation.

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Justification of Operations Program

Fiscal Year 1986

The Operations Program consists of lock and marine operations, maintenance, trade and traffic development, engineering and other activities related to the operations, maintenance and development of the St. Lawrence Seaway System. This activity includes not to exceed $20,000 for unprogrammed consulting services.

Lock operations and vessel traffic control on the St. Lawrence Seaway are conducted on a 24-hour day, 7-day week basis throughout the shipping season. Marine operations consist of commissioning and decommissioning of aids to navigation, channel dredging and maintenance, tugboat and other floating equipment services. The maintenance program is directed towards keeping facilities in efficient operating condition. Facilities include lock structures and equipment, roads, dikes, floating plant, bridges, buildings and grounds. The major maintenance on existing facilities will continue to be performed during the non-navigation season. Winter maintenance programs will again involve maintenance programs to ensure continuity of operations during the navigation season.

The trade and traffic development program includes efforts to inform users and potential users of advantages presented by the Seaway system, develop traffic profiles, anticipate and provide for future operational demands on Seaway facilities and to assure a regular flow of information from the Seaway. To encourage increased use of the Seaway system, the Corporation will continue to engage in activities designed to increase public awareness of the Seaway. Plans are to also continue programs designed to increase efficiency and to protect existing commerce.

The overall Operations Program in FY 1986 totals $10,925,000 reflecting a reduction of $559,000 associated with the Balanced Budget and Emergency Deficit Control Act of 1985. FY 1986 also includes a $3,400,000 major rehabilitation program for continuation of operations and safety of the users of the system. FY 1987 total of $8,510,000 represents the normal operation expenses and provides for annualization and inflationary costs associated with this program.

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Justification of Replacements and Improvements Program

Fiscal Year 1987

The Saint Lawrence Seaway Development Corporation's objectives are to continue to operate the System in a safe, reliable and efficient manner from funds received from user charges, while continuing to interface with a multitude of diverse interests that share the common goal of expanding commerce on the Great Lakes/Seaway system. The Corporation will spend $1.5 million on programs in Fiscal Year 1987 as follows:

I FACILITY MODIFICATION AND IMPROVEMENTS	$ 977,000
This program provides for continued improvements to lock operating equipment, making navigation system improvements, and improving lock operations.	
II. EQUIPMENT, MACHINERY AND TOOLS	523,000
This program provides for the replacements of equipment, machinery and tools, much of which are 25 years old. Emphasis will be on replacing worn out original equipment with new improved equipment.	
	$1,500,000

ADVISORY COMMITTEE

1. Name: Saint Lawrence Seaway Development Corporation

2. Statutory or Other Derivation: Public Law 358, as amended.

3. Mission: Review the general policies of the Corporation, including its policies in connection with design and construction of facilities and the establishment of rules of measurement for vessels and cargo and rates of charges or tolls.

4. Number of Members (A/O 10/1/85):
   Authorized (by Legislation or other) - 5
   Filled - 5

5. Qualifications Required (if any): Appointed by the President, by and with the advice and consent of the Senate.

6. Allowed Expenses (A/O 10/1/85):
   Wages - (p/d or p/a) $50.00 per diem
   All Other - Necessary traveling expenses while going to and coming from meetings.

7. Full or Part-time Professional Staff (A/O 10/1/85): None
   Number -
   Allowed Expenses:
   Wages - (p/d or p/a)
   All Other -

8. List two major accomplishments:
   FY 1984
   (1) Advice and guidance to new administration.
   (2) Reviewed improvements on short and long range goals.
   FY 1985
   (1) Review general policies.
   (2) Review new Trade and Traffic Development initiatives.

	Fiscal Year (in thousands of dollars)						
	1981	1982	1983	1984	1985	1986 est.	1987 est.
9. Number of Meetings (by fiscal year):	4	4	4	1	2	4	4
10. Total Cost of Committee (by fiscal year): ($ in thousands)	$1	$1	$2	$1	$5	$6	$6

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

EMPLOYMENT DATA

1987 Budget Submission

Program	1986 Full-Time Permanent Authorized Positions	1987 Full-Time Permanent Positions
Administrative	37	37
Operations	155	155
Total FTP	192	192
EOY	183	183
FTE*	196	196

*Includes temporary (11) and stay-in school employment (2)

Saint Lawrence Seaway Development Corporation

FY 1987 Budget Justifications

Summary Table

(in thousands of dollars)

	FY 1986 Enacted	FY 1986 After Sequestering	FY 1987 Estimate
Program by activities:			
Operating expenses:			
Administrative expense (limitation)	$ 1,916	$ 1,834	$ 1,990
Operations	11,484	10,925	8,510
Total operating expenses	13,400	12,759	10,500
Capital investment:			
Replacements and improvements	1,500	1,500	1,500
Total obligations	$14,900	$14,259	$12,000

JUSTIFICATION OF APPROPRIATION ESTIMATE
FOR COMMITTEES ON APPROPRIATIONS
FISCAL YEAR 1987

ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

ARCHITECTURAL AND TRANSPORTATION
BARRIERS COMPLIANCE BOARD

Fiscal Year 1987 Budget Page No.

Appropriation language 1

Amounts available for obligation 2

Average grade and salary 2

Summary of changes 3-4

Budget authority by object 5

Authorizing legislation 6

Table of estimates and appropriations 7

Account summary 8

Justification: Narrative 8-11

Consultant Services 12

ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

For expenses necessary for the Architectural and Transportation Barriers Compliance Board, as authorized by Section 502 of the Rehabilitation Act of 1973, as amended, $1,975,000. (Department of Transportation and Related Agencies Appropriation Act, 1986, as included in Public Law 99-190.)

NOTES

Amounts were reduced to $1,890,000 pursuant to P.L. 99-177.
Legislation will be proposed for extension of appropriation authorization beyond Fiscal Year 1986.

ARCHITECTURAL AND TRANSPORTATION
BARRIERS COMPLIANCE BOARD

Amounts Available for Obligation

	1985 Actual	1986 Appropriation	1986 After Sequestration	1987 Estimate
Appropriation	$2,000,000	$1,975,000	$1,890,000	$1,975,000
Unobligated balance lapsing	- 4,355	--	--	--
Total obligations	$1,995,645	$1,975,000	$1,890,000	1,975,000

AVERAGE GRADE AND SALARY

	1985 Actual	1986 Estimate	1986 After Sequestration	1987 Estimate
Average GS Grade	11.80	11.34	11.34	11.18
Average Salary	$35,808	$38,913	$38,913	$37,318

Summary of Changes
(in thousands of dollars)

1986 Appropriation..	$1,975
1987 Estimated Budget Authority	$1,975
Net Change	-$ -0-
1986 Budget Authority After Sequestration...........................	$1,890
1987 Estimated Budget Authority......................................	$1,975
Net Change	+$ 85

DECREASES: Built-in:	1986 Base Appropriation	Change from Base
1. Personnel benefits commensurate with decrease in direct personnel costs	122	- 6
Program:		
1. Permanent positions. Reduction for one staff position	$ 895	-$ 54
2. Positions other than permanent	182	- 16
3. Communications, utilities and miscellaneous charges	97	- 4
4. Other services: All other	132	- 13
Subtotal		- 93
INCREASES: Program:		
1. Permanent positions. Within grade pay increases and promotions	895	+ 27
2. Standard level user charges (Rent)	65	+ 25
3. Other services: Research	347	+ 41
Subtotal		+ 93
NET CHANGE		- -0-

Summary of Changes Cont.

	1986 Est. After Sequestration	Change from Base
DECREASES:		
Program		
1. Positions other than permanent	$ 257	- $ 81
2. Communications, utilities and miscellaneous charges	98	- 1
3. Other services: All other	513	- 4
Subtotal		- 86
INCREASES:		
Program:		
1. Permanent positions	871	+ 87
2. Other personal compensation	14	+ 8
3. Special personal services payments	3	+ 3
4. Travel and transportation of persons	59	+ 5
5. Standard level user charges (Rent)	93	+ 25
6. Printing & reproduction	11	+ 8
7. Other services: Research	167	+ 81
8. Equipment	3	+ 2
Subtotal		+ 138
NET CHANGE		+ 86

[illegible]

Budget Authority by Object
(In thousands of dollars)

	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Total number of permanent positions	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Full-time equivalent of all other positions	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Total compensable workyears	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Personnel compensation:					
Permanent positions	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Positions other than permanent	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Other personnel compensation	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Special personal services payments	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Subtotal personnel compensation	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Personnel benefits	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Travel and transportation of persons	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Standard level user charges (GSA)	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Communications, utilities and miscellaneous charges	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Printing and reproduction	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Other services:					
Research	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
All other	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Supplies and materials	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Equipment	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Total budget authority by object	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

Authorizing Legislation

	Legislation Citation	1986 Amount Authorized	1987 Amount Authorized
Architectural and Transportation Barriers Compliance Board	Rehabilitation Act of 1973, as amended, Section 502(i), P.L. 93-112; 29 U.S.C. § 792.	$1.9 Million	*

*Authorizing legislation to be proposed.

Architectual and Transportation
Barriers Compliance Board 1/

	Budget Estimate To Congress	House Allowance	Senate Allowance	Appropriation
1973				
1974	84,000	84,000	84,000	84,000
1975	220,000	220,000	220,000	220,000
1976	500,000	500,000	500,000	500,000
1977	640,000	640,000	640,000	640,000
1978	1,000,000	1,000,000	1,000,000	1,000,000
1979	1,000,000	1,000,000	1,000,000	1,000,000
1980	1,626,000	1,021,000	1,626,000	1,626,000
1981	2,300,000	2,300,000	2/	2,300,000
1982	2,374,000 3/	2,070,000	1,821,000	1,900,000
1983	--- 4/	1,900,000	2,020,000	2,020,000
1984	1,700,000	1,900,000	1,900,000	1,900,000
1985	2,000,000	2,150,000	2,000,000	2,000,000 5/
1986	1,930,000	2,000,000	1,975,000	1,975,000 6/ (1,890,000) after sequestration
1987	1,975,000			

1/Prior to FY 1981, funds were authorized for Board purposes but no appropriations were explicitly made. The Board received funds through the Office of Human Development Services, Department of Health, Education and Welfare. The numbers shown are estimates based upon funding which became available to the Architectural and Transportation Barriers Compliance Board.

2/The Senate did not provide an allowance for 1981. The House and Senate agreed on a continuing resolution (Public Law 96-536) in effect through June 5, 1981.

3/A revised budget recommended that the Board not be funded.

4/The President's budget recommended that the Board not be funded.

5/No separate appropriation was enacted. The Board operated under a continuing resolution (Public Law 98-473) in effect through September 30, 1985.

6/The Board's appropriation (as part of the Department of Transportation and Related Agencies Appropriation Act, 1986) was included in the continuing resolution (Public Law 99-190) in effect through September 30, 1986. The appropriation was later reduced to $1,890,000 as required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

Account Summary

	1985 Actual	1986 Estimate	1986 After Sequestration	1987 Estimate
Architectural and Transportation Barriers Compliance Board				
Total Budget Authority....	$2,000,000	$1,975,000	$1,890,000	$1,975,000
Obligations..	($1,995,645)			

Architectural and Transportation Barriers Compliance Board
(Rehabilitation Act, Section 502)

BUDGET AUTHORITY:

1986		1986		1987		Increase/ Decrease	
FTE	B.A.	FTE	After Seq.	FTE	Request	From App.	After Seq.
27	$1,975,000	27	$1,890,000	27	$1,975,000	-0-	+$85,000

General Statement

In recognition of the concerns facing handicapped persons in gaining access to federally occupied and funded buildings and facilities, Congress enacted the Architectural Barriers Act of 1968 (P.L. 90-480). When it was later deemed that this legislation had not sufficed in eliminating architectural barriers, Congress, in the Rehabilitation Act of 1973 (P.L. 93-112), created the Architectural and Transportation Barriers Compliance Board to enforce compliance with the standards prescribed under the previously enacted statute. The primary mission of the Board is to effectuate a compliance program to ensure accessibility and usability of most Federal and federally-funded buildings by all persons.

Purpose and Method of Operations

The Board's functions include: (1) ensure compliance with standards prescribed pursuant to the Architectural Barriers Act; (2) ensure that public conveyances, including rolling stock, are readily accessible to and usable by physically handicapped persons; (3) investigate and examine alternative approaches to eliminate architectural, transportation, communication and attitudinal barriers; (4) make recommendations and prepare policy reports to the President and Congress on measures to eliminate such barriers; (5) provide technical assistance to persons and entities affected by Title V of the Rehabilitation Act with respect to overcoming architectural, transportation and communication barriers; (6) establish minimum guidelines and requirements for the standards issued under the Architectural Barriers Act, as amended.

In carrying out these functions, the Board may, as appropriate, use the following authorities: conduct investigations; hold public hearings; issue final compliance orders (subject to judicial review) directing corrective action and/or withholding or suspending Federal funds; bring a civil action in any appropriate U.S. District Court; appear and participate in any court in a state in civil actions which relate to the Architectural Barriers Act; make grants and contracts; appoint staff under the supervision of an Executive Director; and provide technical assistance related to architectural, transportation and communication barriers.

The 22 member board is composed of 11 public members appointed by the President and 11 Federal Agency heads (Executive Level IV and above).

During the past year, the Board continued its research and technical assistance efforts into those areas of the minimum guidelines and requirements which had been reserved or required additional technical information. These minimum guidelines and requirements are the basis for the Uniform Federal Accessibility Standards issued by the four standard-setting agencies under the Architectural Barriers Act. The Board completed research contracts on detectable tactile surface treatments and signage. The findings, currently being circulated for review and comment, will be used to develop minimum guidelines and requirements during FY 1986.

To enhance communications accessibility, the Board explored alternative methods of establishing a TDD (telecommunication device for deaf persons) relay system within the Federal government; began an alarms documentation project to evaluate existing alarm systems; and initiated efforts to investigate signage and other environmental information systems. In addition, the Board established a recreation accessibility project and continued its current research on hand anthropometrics.

To further its efforts in the area of transportation, the Board continued to work with the Department of Transportation and other related groups as a member of the National Transportation Facilitation Committee to investigate barriers to air travel, to suggest possible solutions and to assist the Board in developing and refining advisory rules and guidance on topics such as aircraft boarding chairs and airport lifts. In this area, the Board awarded a contract to produce a technical manual on boarding chairs; entered into an interagency agreement with the Department of Transportation to improve TDD services in airports; and developed a statement of work for the production of a technical paper on mobility aid stowage.

To continue its technical assistance efforts, the Board responded to public inquiries on accessibility related issues; directed a cooperative effort with the standard-setting agencies to prepare a new edition of the Uniform Federal Accessibility Standards (UFAS) for publication and distribution; developed a statement of work for a technical assistance paper on wheelchair tiedowns and completed two projects to enhance communications accessibility within the Federal government--a directory listing TDD numbers currently in use within the Federal government and a brochure explaining TDD characteristics and usage which has been widely distributed to Federal agencies and other interested organizations.

In the compliance and enforcement area, the Board received 249 complaints, a 6.5% increase over FY 1984. Improvements in the Board's complaint processing procedures, including modification to the Board's computer tracking system, enable the Board to handle effectively consistent increases in the number of complaints. All of the complaints which were closed in FY 1985 were resolved amicably. Since 1982, the Board has continued to achieve voluntary resolution in 100% of the cases over which it has jurisdiction and in which a violation is found.

1987 Budget Policy

To continue the Architectural and Transportation Barriers Compliance Board's efforts to minimize barriers to access and use by physically handicapped individuals, $1,975,000 is requested in Fiscal Year 1987, the same level as the FY 1986 appropriation level and an increase of $85,000 from the 1986 level after sequestration. This will support 27 full-time equivalent positions with a major emphasis on technical research and assistance related to the reserved sections and sections requiring additional information for the Board's Minimum Guidelines and Requirements for Accessible Design.

The FY 1987 budget request has been prepared in an manner which is consistent with the fiscal goals of the Administration. As such, it reflects a reduction in spending below 1985 levels--more specifically a 17% reduction in administrative operating costs with a greater portion of Board resources directed to research efforts aimed at completing the minimum guidelines and requirements. These cost savings will still permit the Board to carry out its responsibilities effectively and efficiently at the same agency staff level as FY 1985 and 1986.

The functions of the Board are divided into three broad areas: (1) research and technical services; (2) compliance and enforcement; (3) administrative.

1. Research and Technical Services. The primary objective is to develop, in consultation and coordination with other concerned Federal departments and agencies, standards and to provide appropriate technical assistance to any public or private activity, person or entity affected by regulations prescribed pursuant to Title V with respect to overcoming architectural, transportation and communication barriers and to establish minimum guidelines and requirements for the Architectural Barriers Act standards.

For FY 1987, as a means of accomplishing its objectives, the Board will:

-- Plan, develop and implement a research program to establish specifications for those sections of the Minimum Guidelines and Requirements for Accessible Design that are designated as reserved or identified as needing additional information.

-- Plan and develop technical and informational programs in coordination with standard-prescribing agencies, other interested Board members and other concerned Federal departments and agencies for the purpose of assisting the public and private sectors in better understanding the accessibility needs of disabled persons.

-- Develop appropriate technical assistance mechanisms to ensure that public conveyances, including rolling stock, are readily accessible to and usable by handicapped persons.

-- Provide Federal agencies with assistance and guidance in developing compliance systems, as requested, which ensure that Federal agencies, departments and instrumentalities comply with Federal accessibility requirements.

-- Provide assistance and exchange information on projects and research activities sponsored and conducted by other entities which affect the accessibility of buildings and facilities, including transportation and housing facilities, for disabled people.

-- Investigate and examine alternative approaches to eliminating architectural, transportation, communication and attitudinal barriers confronting handicapped individuals with resnect to telecommunication devices, public buildings and monuments, parks and parklands, public transportation and residential and institutional housing.

2. Compliance and Enforcement. The primary objective is to ensure that accessibility and usability are achieved in certain Federal and federally-funded buildings. Major activities include processing, investigating and resolving complaints of noncompliance filed with the Board. Waivers and modifications are reviewed to ensure that they are granted only in accordance with the conditions imposed by the Architectural Barriers Act.

In FY 1987 as a means of accomplishing its objectives, the Board will:

-- Process complaints received by the Board. Under the Board's rules, 36 C.F.R. 1150, complaints of alleged inaccessibility are processed to resolve problems. Emphasis is on voluntary, amicable resolution of access issues. In addition, there may be participation in civil proceedings as necessary, where authorized. (Rehabilitation Act of 1973, Section 502 (d))

-- Furnish legal services on matters pertaining to the administrative and substantive operations of the Board.

-- Review waivers and modifications related to complaints or those submitted by an agency. The review is provided within agreed upon time frames.

3. Administrative. For FY 1987 the Board will:

-- Continue to provide support services for the Board which is comprised of 11 Federal and 11 public members.

-- Prepare an annual report on the activities of the Board for submission to the President and Congress.

-- Provide basic agency administrative operations in support of Board program activities.

ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

CONSULTING SERVICES

1985 Actual	1986 Estimate	1987 Estimate
$ 11,532	$16,000	---

Expert Appointment

Services utilized in FY 1985 consisted of providing expert advice to the Director of the Office of Technical Services on issues related to accessible design for physically handicapped persons. This included: researching and answering technical inquiries related to architectural accessibility received from Federal agencies, state and local governments, public and private sector organizations and private citizens; developing background materials and other information for the Board's working group on recreation; directing and coordinating said group and developing a technical paper on the same topic and developing and evaluating research and technical assistance projects for the Board's FY 1986 and FY 1987 research and technical assistance agenda.

Interstate Commerce Commission

Budget Estimates

Fiscal Year 1987

INTERSTATE COMMERCE COMMISSION
FISCAL YEAR 1987 BUDGET ESTIMATES

-

Salaries and Expenses

Payments for Directed Rail Service

Submitted to Congress -- February 1986

INTERSTATE COMMERCE COMMISSION

FISCAL YEAR 1987 BUDGET ESTIMATES

Table of Contents

SUMMARY AND HIGHLIGHT STATEMENT........................ 1

SALARIES AND EXPENSES

Budget Authority by Program........................ 4
Staff-Years and Budget Authority by Bureau and Office........................ 5
Motor Program Staff-Years and Budget Authority by Bureau and Office........................ 6
Rail Program Staff-Years and Budget Authority by Bureau and Office........................ 7
General Management and Administration Staff-Years and Budget Authority by Bureau and Office........ 8
FY 1986 Salaries and Expenses (Reprogramming)...... 9
FY 1986 Staff-Years (Reprogramming)................ 10

COMMISSIONERS AND THEIR OFFICES........................ 11

OFFICE OF THE SECRETARY........................ 17

OFFICE OF THE GENERAL COUNSEL........................ 23

OFFICE OF PROCEEDINGS........................ 27

OFFICE OF HEARINGS........................ 36

OFFICE OF PUBLIC ASSISTANCE........................ 39

OFFICE OF TRANSPORTATION ANALYSIS........................ 43

BUREAU OF ACCOUNTS........................ 49

BUREAU OF TRAFFIC........................ 57

OFFICE OF COMPLIANCE AND CONSUMER ASSISTANCE............ 63

OFFICE OF THE MANAGING DIRECTOR........................ 72

COST JUSTIFICATIONS

Summary of Increases and Decreases................ 78
Cost Justifications........................ 79

PAYMENTS FOR DIRECTED RAIL SERVICE

Statement on Program and Performance................ 83
Sources and Uses of Funds........................ 84

SUMMARY AND HIGHLIGHT STATEMENT

The Interstate Commerce Commission is an independent agency created by Congress to regulate interstate surface transportation in order to ensure that the public has an adequate, efficient surface transportation system.

The Commission's FY 1987 budget request, under current legislation, totals $48.3 million and provides for 800 total staff-years. The staff-year request also represents a 61-percent reduction in staffing since 1979, which was prior to passage of the first deregulatory legislation in both the motor and rail areas. This decrease is illustrated by the chart on page 3.

The Commission's FY 1987 budget is submitted in order to provide for the continuity of regulatory functions in the absence of legislation further deregulating the motor carrier industry before 1987.

This budget request reflects the Commission's changing regulatory role and its continuing efforts to make efficient use of diminishing resources. In FY 1986, under provisions of the Balanced Budget and Emergency Deficit Control Act of 1985 (Gramm-Rudman-Hollings), the Commission will effect a spending reduction of $2,072,000 from the appropriated level. Most of this savings will be achieved by accelerating staff reductions planned for FY 1987 where such actions can be accomplished without major reductions in force or disruptions to the Commission's workload. As a result, many of the cost reductions planned for FY 1987 will be achieved in FY 1986.

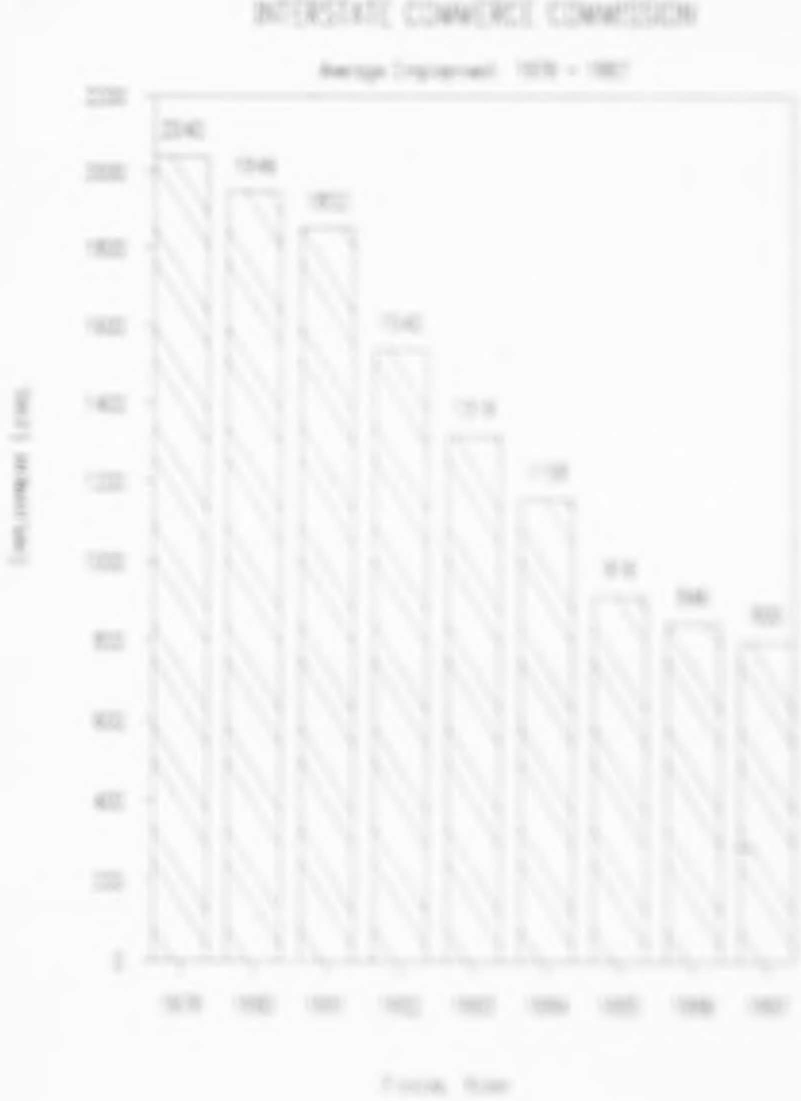
The cost reductions to be implemented under Gramm-Rudman-Hollings will necessitate reprogramming of funds and reductions in staff-year usage, as reflected in these budget estimates.

Several significant organizational changes will be implemented by FY 1987. Extensive changes are being made in the field structure of the Office of Compliance and Consumer Assistance (OCCA), which has experienced a decrease in work requirements. These include a reduced level of complaints and a decrease in applications for short-term operating authority. The reorganization will produce more efficient deployment of OCCA's resources and is in keeping with Congressional suggestion to move some regional and field office responsibilities back to the central office.

The structure of the Bureau of Accounts is being realigned to combine staffs having similar professional disciplines and technical backgrounds. By combining the audit, accounting, and reporting functions into the Section of Audit and Accounting and the current sections of Cost Development and Cost Analysis into the Section of Cost Support, the headquarters organization will be reduced from five sections to three.

Another reorganization involves the merger of the Office of Special Counsel and the Small Business Assistance Office; the result is a new Office of Public Assistance. This combines the two offices whose missions are to provide special kinds of assistance to the public. In addition, the Office of Legislation and Governmental Affairs will be merged with the Office of Public Affairs in an effort to eliminate overhead. These two mergers eliminate two of the Chairman's satellite offices.

The Commission's actions to streamline the agency are consistent with its reduced regulatory role. While the FY 1987 budget reflects reductions in program operations, it also addresses the need to reduce agency overhead--a common element in all aspects of the plan. The Commission will continue to consider further restructuring alternatives during FY 1986 and FY 1987.


INTERSTATE COMMERCE COMMISSION
Average Employment 1979 - 1987
Employment Level
Fiscal Year
2200
2000
1800
1600
1400
1200
1000
800
600
400
200
0
2040
1946
1852
1540
1318
1158
918
846
800
1979
1980
1981
1982
1983
1984
1985
1986
1987

ICC

INTERSTATE COMMERCE COMMISSION

BUDGET AUTHORITY BY PROGRAM

(Dollars in thousands)

	[illegible]	[illegible]	[illegible]
Motor	[illegible]	[illegible]	[illegible]
Rail	[illegible]	[illegible]	[illegible]
General Management and Administration	[illegible]	[illegible]	[illegible]
Total Budget Authority	[illegible]	[illegible]	[illegible]
Total Outlays	[illegible]	[illegible]	[illegible]
Full-Time Permanent Employment	[illegible]	[illegible]	[illegible]

INTERSTATE COMMERCE COMMISSION

STAFF-YEARS AND BUDGET AUTHORITY
BY BUREAU AND OFFICE
(dollars in thousands)

Office	FY 1985		FY 1986		FY 1987	
	Total Staff-Years	Budget Authority	Total Staff-Years	Budget Authority	Total Staff-Years	Budget Authority
Commissioners and their Offices	54	$3,754	48	$3,206	47	$3,307
Secretary	82	3,213	85	3,465	85	3,597
General Counsel	28	1,776	27	1,768	27	1,836
Proceedings	149	8,836	140	8,637	140	8,987
Hearings	11	774	8	566	6	460
Public Assistance	12	715	14	841	15	935
Transportation Analysis	35	2,339	30	2,375	30	2,512
Accounts	107	6,280	91	5,648	75	4,993
Traffic	79	3,402	75	3,386	75	3,522
Compliance and Consumer Assistance	273	14,609	246	13,952	218	13,415
Managing Director	86	4,599	82	4,564	82	4,736
Commission Totals	916	$50,297	846	$48,408	800	$48,300

INTERSTATE COMMERCE COMMISSION

MOTOR PROGRAM

STAFF-YEARS AND BUDGET AUTHORITY
BY BUREAU AND OFFICE
(dollars in thousands)

Office	FY 1985		FY 1986		FY 1987	
	Staff-Years	Budget Authority	Staff-Years	Budget Authority	Staff-Years	Budget Authority
Commissioners and their Offices	15	$1,043	14	$ 887	13	$ 935
Secretary	53	2,063	57	2,301	56	2,336
General Counsel	7	444	6	385	6	408
Proceedings	83	4,909	75	4,598	75	4,759
Hearings	0	0	0	0	0	0
Public Assistance	7	404	5	300	5	307
Transportation Analysis	2	138	0	0	0	0
Accounts	15	875	11	680	9	574
Traffic	60	2,569	56	2,508	56	2,598
Compliance and Consumer Assistance	250	13,362	226	12,743	198	12,091
Commission Totals	492	$25,807	450	$24,402	418	$24,008

INTERSTATE COMMERCE COMMISSION

RAIL PROGRAM

STAFF-YEARS AND BUDGET AUTHORITY
BY BUREAU AND OFFICE
(dollars in thousands)

Office	FY 1985		FY 1986		FY 1987	
	Staff-Years	Budget Authority	Staff-Years	Budget Authority	Staff-Years	Budget Authority
Commissioners and their Offices	35	$2,433	29	$1,978	29	$2,040
Secretary	29	1,130	28	1,136	29	1,225
General Counsel	18	1,142	18	1,181	18	1,224
Proceedings	66	3,879	65	3,993	65	4,168
Hearings	11	774	8	566	6	460
Public Assistance	5	311	9	536	10	620
Transportation Analysis	33	2,192	30	2,365	30	2,499
Accounts	92	5,379	80	4,938	66	4,387
Traffic	19	813	19	853	19	892
Compliance and Consumer Assistance	23	1,178	20	1,129	20	1,231
Commission Totals	331	$19,231	306	$18,675	292	$18,746

INTERSTATE COMMERCE COMMISSION

GENERAL MANAGEMENT AND ADMINISTRATION

STAFF-YEARS AND BUDGET AUTHORITY
BY BUREAU AND OFFICE
(dollars in thousands)

Office	FY 1985		FY 1986		FY 1987	
	Staff-Years	Budget Authority	Staff-Years	Budget Authority	Staff-Years	Budget Authority
Commissioners and their Offices	4	$278	5	$341	5	$332
General Counsel	3	190	3	202	3	204
Managing Director	86	4,599	82	4,564	82	4,736
Other Offices	-	192	-	224	-	274
Commission Totals	93	$5,259	90	$5,331	90	$5,546

INTERSTATE COMMERCE COMMISSION
FY 1986 SALARIES AND EXPENSES

Office	Conference Report Distribution	Directed Rail Transfer*	Gramm-Rudman-Hollings Base	Sequester Amount	Revised Limitation	Reprogramming**	Revised 1986 Distribution
Commissioners and their Offices	$ 3,375	$ 154	$ 3,221	$ 139	$ 3,236	$ (30)	$ 3,206
Secretary	3,100	141	2,959	127	2,973	492	3,465
General Counsel	1,800	82	1,718	74	1,726	42	1,768
Proceedings	8,600	392	8,208	353	8,247	390	8,637
Hearings	570	26	544	23	547	19	566
Public Assistance	525	24	501	22	503	338	841
Transportation Analysis	2,400	109	2,291	98	2,302	73	2,375
Accounts	6,910	315	6,595	284	6,626	(978)	5,648
Traffic	3,800	173	3,627	156	3,644	(258)	3,386
Compliance and Consumer Assistance	14,400	656	13,744	591	13,809	143	13,952
Managing Director	5,000	228	4,772	205	4,795	(231)	4,564
TOTAL	$50,480	$2,300	$48,180	$2,072	$48,408	$ 0	$48,408

* These funds are not subject to sequestering under the Balanced Budget and Emergency Deficit Control Act of 1985 (Gramm-Rudman-Hollings).

** Congressional approval for reprogramming is being requested for the Bureaus of Accounts and Traffic and the Offices of the Secretary and Public Assistance. All other reprogramming actions are within the five-percent flexibility permitted by the Conference Report on P.L. 99-190.

INTERSTATE COMMERCE COMMISSION

FY 1986 STAFF-YEARS

Office	PL 99-190 Conference Report	Gramm-Rudman-Hollings Reduction	Revised Limitation	Reprogramming	Revised 1986 Resources
Commissioners and their Offices	56	2	54	-6	48
Secretary	85	4	81	4	85
General Counsel	27	1	26	1	27
Proceedings	150	7	143	-3	140
Hearings	8	0	8	0	8
Public Assistance	7	0	7	7	14
Transportation Analysis	30	1	29	1	30
Accounts	100	4	96	-5	91
Traffic	81	4	77	-2	75
Compliance and Consumer Assistance	257	11	246	0	246
Managing Director	88	4	84	-2	82
TOTAL	889	38	851	-5	846

COMMISSIONERS AND THEIR OFFICES

The FY 1987 request for the Chairman, the Commissioners, and the satellite offices is $3,307,000 and 47 staff-years. The decline in employment in these offices, from a ceiling of 85 prior to the enactment of regulatory reform legislation to the requested 47 staff-years in FY 1987, represents a 44-percent decrease.

The Commission decides individual cases and determines policy through its proceedings to ensure the effective administration of the Interstate Commerce Act, related statutes, and regulations. The Chairman serves as administrative head of the agency, formulating plans, proposing policies, and providing for the overall direction and management of the agency. As a result of legislation which Congress enacted in 1982, the Commission was reduced from seven members to the current five members, effective January 1, 1986.

Each Commissioner is assisted in carrying out his or her responsibilities by a small staff of advisors and assistants. These staff review and research the law and pleadings pertaining to draft decisions, policy statements, rulemakings, and proposed legislation. They brief the Commissioners, prepare votes and separate expressions, and recommend action in cases or other matters.

In 1985, four small satellite offices reported directly to the Chairman: The Office of Legislation and Governmental Affairs, the Small Business Assistance Office, the Office of Public Affairs, and the Office of Human Relations. During FY 1986, a merger of the Office of Legislation and Governmental Affairs with the Office of Public Affairs will form a new Office of Legislative and Public Affairs. The State and local liaison function currently handled by the Office of Legislation and Governmental Affairs will be transferred to the new Office of Public Assistance, which will be created by the merger of the Offices of the Special Counsel and Small Business Assistance. As a result, there will be only two satellite offices: The Office of Legislative and Public Affairs and the Office of Human Relations.

The Office of Legislative and Public Affairs will be responsible for the handling of Congressional correspondence, testimony for hearings, and inquiries from the press and general public.

The activities of the Office of Human Relations include adjudicating equal employment opportunity (EEO) complaints, conducting management/employee training seminars on human relations, monitoring the enforcement of civil rights laws, and intervening on behalf of employees regarding concerns related to EEO.

The new procedures and interpretations resulting from regulatory reform legislation initially caused a significant increase in the workload of the Commissioners and their staffs. However, following completion of most of the implementing rulemakings, workload levels stabilized and staffing was reduced over the past few years. It is expected that the administration of existing legislation will continue to place a relatively constant workload burden on Commissioners and their staffs through FY 1987.

MAJOR ACCOMPLISHMENTS IN FY 1985

- Considered and adjudicated approximately 2,000 licensing, rate, and finance cases filed by motor freight, bus, freight forwarder, water, and rail carriers.
- Developed regulatory policies for surface carriers under the Commission's jurisdiction through adjudication and rulemakings on such major items as:
    - Finance Docket No. 28640 (Sub-No. 9) et. al., Chicago Milwaukee, St. Paul and Pacific Railroad Company--Reorganization--Acquisition by Grand Trunk Corporation
    - Ex Parte No. 282 (Sub-No. 9), Railroad Consolidation Procedures--Trackage Rights Exemption
    - Ex Parte No. 297 (Sub-No. 7), Motor Carrier Rate Bureaus--Expansion of Collective Ratemaking Territory
    - Ex Parte No. 320 (Sub-No. 3), Product and Geographic Competition
    - Ex Parte No. 347 (Sub-No. 1), Coal Rate Guidelines - Nationwide
    - Ex Parte No. 394 (Sub-No. 1), Cost Ratio for Recyclables--1983 Determination
    - Ex Parte No. 445 (Sub-No. 1), Intramodal Rail Competition
    - Ex Parte No. MC-97 (Sub-No. 2), Investigation into Practices of Motor Common Carriers of Property on Residential and Redelivered Shipments
    - F.D. 30500, Norfolk Southern Corporation--Control--North American Van Lines, Inc.
- Participated in congressional hearings on the Motor Carrier Act, Household Goods Transportation Act, Bus Regulatory Reform Act, and freight forwarder deregulation.

- Provided materials to congressional staff members regarding the Commission's activities in implementing the Staggers Rail Act, in response to the introduction of various legislative proposals to amend that Act.

- Completed and submitted the 1984 Annual Report to Congress.

- Prepared for and testified at hearings on the Commission's FY 1986 appropriation and the FY 1985 supplemental request, and responded to inquiries from Members of Congress regarding the Commission's budget situation.

- Considered and voted on reorganization proposals in conjunction with development of the FY 1987 budget.

- Provided EEO-related training to approximately 70 supervisory staff and handled 12 EEO complaints.

OBJECTIVES FOR FY 1986 AND FY 1987

- Develop and implement surface transportation policy through adjudication and rulemakings.

- Decide the licensing, rate, and finance cases brought before the Commission within the statutory deadlines.

- Implement any newly enacted legislation and continue to take actions authorized by current legislation.

- Participate in oversight hearings and respond to requests for comment on legislative proposals.

- Continue to consider reorganization proposals and to develop new procedures to improve productivity.

- Continue to resolve equal employment opportunity and human relations concerns and provide supervisory training designed to promote equitable treatment of employees.

BENEFITS TO THE PUBLIC

The Interstate Commerce Commission maintains jurisdiction over more than 38,000 for-hire companies providing surface transportation. The Commission is charged with ensuring that competitive, efficient, and safe transportation services are provided to meet the needs of shippers, receivers, passengers, and consumers. The Commissioners shape the overall policies which lead to this end and supervise all of the ICC's activities which affect the public.

WORKLOAD

Unlike many other Federal agencies which deliberate a relatively small number of cases annually, the Interstate Commerce Commission has a heavy workload--thousands of matters that vary substantially in scope, complexity, and importance. These range from procedural matters to complex merger, abandonment, construction, and rate cases. During FY 1985, nearly 700 actions were taken by the entire Commission. These included rulemakings, investigations, and administrative matters relating to the Commission's resources and organizational structure. Most appellate decisions pertaining to rail casework, initial decisions on major mergers, some abandonments, and motor matters of a wide impact or precedent-setting nature were rendered by the entire Commission.

During FY 1985, over 1,000 additional actions were taken by the Commission's two Divisions. The Divisions, each of which included three Commissioners, issued decisions on matters of importance not requiring entire Commission action. These included initial decisionmaking in most rail cases and final decisions involving motor carrier casework.

The Commission will consider a number of significant rulemaking proposals as it continues to review the effects of regulatory reform and its previous decisions on rail, motor, and water carriers. Motor carrier licensing workload is likely to decrease slightly and the number of motor finance and rate matters coming before the Commission for decision is expected to be stable. Although the number of rail matters filed for Commission consideration is not expected to change significantly by FY 1987, the rail rate and finance matters are typically quite complex and require more time in the review and decisionmaking phase. Thus, the majority of the staff-year resources for the Commissioners and their offices will be expended on rail matters.

Significant staff resources will also be expended on legislative matters. In FY 1986 and FY 1987, the Commission will develop positions on pending legislation, provide testimony for presentation at congressional hearings, and develop comments on proposed legislation for submission to Congress.

In addition to staff performing primarily motor and rail program functions, staff of the Office of Human Relations perform work which is of a general management or administrative nature, investigating complaints and providing human relations programs for the agency's workforce.

RESOURCES

The 47 staff-year request for FY 1987 reflects the first full year in which the Commission will consist of only five members. This request will provide six staff-years to be employed by the Chairman and five staff-years for the staff of each Commissioner. In addition, the remaining two satellite offices include 16 staff-years.

The staff-year usage shown for FY 1985 is well within the limitation set in the FY 1985 supplemental appropriation law. There is a decrease in the staff-year usage projected for FY 1986 and 1987 due to the decrease in the number of Commissioners and due to the savings from the merger of the legislative support and public affairs functions.

Staff-Years

	FY 1985	FY 1986	FY 1987
Chairman	7	7	7
Commissioners	31	26	24
Office of Legislation and Governmental Affairs Office of Public Affairs	12	11	11
Office of Human Relations	4	4	5
Total	54 [1]	48 [1]	47
(Motor)	(15)	(14)	(13)
(Rail)	(35)	(29)	(29)
(General Management & Administration)	(4)	(5)	(5)

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[1] During FY 1986 a reorganization will shift five staff-years and the Small Business Assistance Office to the new Office of Public Assistance. For comparison purposes, the FY 1985-1987 staff-years for the satellite offices do not include the Small Business Assistance Office; the staff-years used by this office are included in the presentation on the Office of Public Assistance.

Personnel Compensation and Benefits - Included in the $2,754,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; estimated expenses for terminal leave, severance pay, and unemployment compensation.

Travel - For FY 1987, a total of $29,000 is requested. This includes an allotment of $4,125 for each of four Commissioners and a total of $12,500 for the Chairman and two satellite offices. This is lower than the FY 1986 travel allocation, which included funds for two Commissioners whose terms expired December 31, 1985.

Actual expenditures for FY 1985 travel were held to a minimum because of the severe budgetary constraints the Commission operated under for most of the fiscal year. While the FY 1986 and FY 1987 levels will allow for a return to more normal operations, it should be noted that the amounts targeted for use in future years by the Chairman and Commissioners represent a decrease of 25 percent from the levels originally planned for FY 1985. These travel resources will provide for Commission representation at meetings and conferences with shippers, carriers, and other interested groups. Travel funds are required for a number of other necessary activities including the conduct of EEO complaint investigations, human relations training, and attendance at field hearings scheduled by congressional committees at which the Commission testifies.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary 1/

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$3,053	$2,643	$2,754
Contracts	-	-	-
Travel	11	34	29
Other Expenses	690	529	524
Total Budget Authority	$3,754	$3,206	$3,307
Full-Time Equivalent Employment	54	48	47

1/ The table excludes staff-years and expenses of the Small Business Assistance Office; these resources are reflected as a part of the new Office of Public Assistance.

OFFICE OF THE SECRETARY

The FY 1987 request for the Office of the Secretary is $3,597,000 and 85 staff-years.

The Office of the Secretary serves as the Commission's clerk of the court and is responsible for the issuance of all Commission decisions. This involves docketing new cases, processing filing fees, publishing notices in the Federal Register and the ICC Register, recording all pleadings filed with the Commission, processing notation and conference votes of the Commissioners at the Division and entire Commission levels, and serving Commission decisions. It is responsible for maintaining the library and for providing reference services for staff and the public. The Office is also responsible for the Commission's incoming and outgoing mail; maintenance of the public docket files; certifying official records; administering the examination program for non-attorney practitioners; the motor carrier insurance recordkeeping program; and providing for agency printing and photocomposition services.

The Office of the Secretary is divided into three components: the Library and Reference Services Unit, the Commission Service Section, and the Public Records Section. The Library and Reference Services Unit maintains the agency's reference documents and digests, annotates, and indexes Commission decisions.

The Commission Service Section is responsible for processing votes of the Commission, providing proper documentation of Commission actions in formal and informal proceedings, and serving all decisions, notices, and certificates issued by the Commission, its Administrative Law Judges, and employee boards. It is responsible for maintaining documentation on Commission conferences, meetings, and oral arguments and for publishing notices in the Federal Register and ICC Register. This Section is also responsible for providing mail management; printing, reproduction, and photocomposition services; and for updating and maintaining the data bases of centralized computer systems which provide information concerning case tracking and filings.

The Public Records Section is responsible for acting as custodian of the Commission seal and the public records filed with the ICC. This staff maintains public recordation files, copies and certifies records, prepares certified indexes of proceedings appealed to the courts, maintains all public docket and operating authority files, processes applications and other filings for which fees are assessed, and operates the microfilming unit. The Section also has responsibility for maintaining the records required for the Commission's insurance recordkeeping program.

MAJOR ACCOMPLISHMENTS IN FY 1985

- Implemented a direct deal printing contract through the Government Printing Office which allows contract printing work to be completed more quickly. The Commission is the first agency to use such a contract.

- Arranged for sale of the Commission's Annual Report by the Government Printing Office in order to reduce both printing and mailing costs to the Commission.

- Established procedures for docketing and accepting applications of foreign carrier applicants for certificates of registration and procedures for accepting their proofs of insurance.

- Implemented the following cost reduction initiatives: changes in publication formats and elimination of certain Commission publications; elimination of use of telex and facsimile equipment; decreases in orders for publications. These accomplishments generated savings of $90,000.

- Amended the case tracking computer system to include a system to record all registered, certified, and other accountable mail delivered via courier. This eliminates handwritten log books and avoids duplication in the recording of the documents submitted.

- Collected more than $4 million in filing and user fees from carriers.

- Established a monthly billing system for tariff filings, rate contracts, special permission applications, designation of agent filings, special dockets, informal opinions and informal complaints.

OBJECTIVES FOR FY 1986 and FY 1987

- Upgrade computerized process serving scheduling system to include entry of print jobs to eliminate manually maintained logs.

- Review incoming mail to determine volume of unsolicited advertising material and publications sent to the Commission and take steps to eliminate it.

- Make maximum use of automation and streamline processes in order to achieve increases in productivity and reduce costs.

- Provide timely processing of all Commission decisions, notices, pleadings, and mail.

- Process applications, fees, pleadings, and insurance coverage forms in a timely manner.

- Review the Commission's fee schedule to identify other items which can be billed monthly.

BENEFITS TO THE PUBLIC

The Office of the Secretary formally notifies the public of all Commission decisions and keeps the public informed of applications and their disposition. Additionally, the Office assists users of public records and answers inquiries regarding current and historical matters handled by the Commission.

WORKLOAD

The Office of the Secretary performs a variety of activities. These are divided into six major categories: maintenance of public records, case control, applications and fees, printing, library and reference services, and mail processing.

Maintenance and certification of public records includes all activities related to maintaining docket files, administering insurance records required by the Commission's insurance regulations, and certifying official records and documents. The workload related to administration of insurance records increased substantially during FY 1985. This increase resulted from the final phase-in of the increased minimum insurance levels required by the Motor Carrier Act of 1980 and the Bus Regulatory Reform Act of 1982, and the Commission's new aggregation policy, which allows carriers to submit multiple insurance certificates. The increase in workload, at a time when hiring was frozen because of funding constraints, resulted in processing backlogs. For FY 1986 and FY 1987, an increase of three staff-years is required to permit the Office to keep pace with the insurance workload at the higher level.

Case control activities include recording pleadings and clearing, scheduling, publishing, and distributing decisions and notices. This workload should decline slightly between FY 1985 and FY 1987. Related workload, such as the number of register pages published, will also decline slightly. Total staff resources will be reduced in line with the workload and applied to other activities experiencing workload increases.

In FY 1985 fee collection and application processing activities increased significantly. Fee items added as a result of the Commission's revision of its user fee schedule, which became effective in July 1984, significantly increased fee processing workload during FY 1985. Further, the number of tariff filings and some types of applications increased over FY 1984. This increase is attributable in part to the requirements in the Motor Carrier Safety Act of 1984 that foreign carriers file for certificates of registration. Tariff filings have continued to increase every year since 1980 and are expected to remain high through FY 1987. This function also experienced staffing shortages from a combination of high attrition and the hiring freeze in effect during almost the entire year. As a result, there have been significant delays in processing applications and filings. During FY 1985, it was necessary to detail employees from other offices to this Office in an attempt to eliminate processing backlogs. Additional resources brought in from other areas within this office will be devoted to these activities in FY 1986 in order to bring total staffing into line with workload.

Staffing levels devoted to mail processing were reduced significantly in FY 1985, resulting in temporary backlogs and processing delays. However, workload is expected to decrease in FY 1986 and FY 1987, as a result of steps that will be taken to reduce the volume of advertising material and unsolicited publications received through the mail. The reduced incoming volume should make it possible to process all mail in a timely manner using the current staffing level.

Printing workload and staffing is not expected to change significantly between FY 1985 and FY 1987. Although some increase is anticipated in the number of requests for information and reference services, the current staffing level is expected to be sufficient to handle the workload.

Workload Summary

	FY 1985	FY 1986	FY 1987
Maintenance of Public Records			
Insurance Records	111,360	111,340	11,340
Docket Files	1,030,335	1,207,500	1,207,500
Case Control			
Cleared Decisions	1,396	3,300	3,300
Issued Notices/Decisions	59,679	30,450	10,450
Recorded Pleadings	35,436	35,500	35,500
Certifications	1,128	1,367	1,367
Applications and Fees	18,326	18,180	18,180
Printing/Register Notices	6,018,066	6,018,100	6,018,100
Tariff Filings	1,148,000	1,148,000	1,148,000
Library/Reference Services	6,200	6,500	6,500
Mail	1,165,439	850,000	850,000
Full-Time Equivalent Employment	82	85	85
(Motor)	(53)	(57)	(56)
(Rail)	(29)	(28)	(29)

Motor Workload

	FY 1985	FY 1986	FY 1987
Maintenance of Public Records			
Insurance Records	111,360	111,340	111,340
Docket Files	630,335	777,500	777,500
Case Control			
Cleared Decisions	770	2,100	2,100
Issued Notices/Decisions	41,800	21,700	21,700
Recorded Pleadings	26,600	26,000	26,000
Certifications	580	700	700
Applications and Fees	14,280	14,170	14,170
Printing/Register Notices	3,252,800	3,252,800	3,252,800
Tariff Filings	918,400	918,400	918,400
Library/Reference Services	2,300	2,500	2,500
Mail	729,400	520,000	520,000
Full-Time Equivalent Employment	53	57	56

Rail Workload

	FY 1985	FY 1986	FY 1987
Maintenance of Public Records			
Docket Files	400,000	430,000	430,000
Case Control			
Cleared Decisions	626	1,200	1,200
Issued Notices/Decisions	17,879	8,750	8,750
Recorded Pleadings	8,836	9,500	9,500
Certifications	548	667	667
Applications and Fees	4,046	4,010	4,010
Printing/Register Notices	2,765,266	2,765,300	2,765,300
Tariff Filings	229,600	229,600	229,600
Library/Reference Services	3,900	4,000	4,000
Mail	436,039	330,000	330,000
Full-Time Equivalent Employment	29	28	29

RESOURCES

Personnel Compensation and Benefits - Included in the $2,247,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; estimated expenses for terminal leave, severance pay, and unemployment compensation.

Contracts - A total of $120,000 is requested for two contracts for this Office in FY 1987. The reporting contract covers the cost of all Commission oral hearing and conference transcripts and depositions. Funding for this contract should increase to $100,000 in FY 1986 and FY 1987 in order to accomodate more public conferences, hearings, and oral arguments.

The messenger service contract covers the cost of messenger service to deliver decisions, Federal Register pages, legislative materials, and other official documents in the Washington area. It is anticipated that the number of messenger deliveries will increase somewhat in FY 1986 and FY 1987, as a result of the recent discontinuance of the telex service. Therefore, $20,000 is estimated as the cost for this contract in FY 1987.

Travel - These expenses are primarily for local travel for training purposes and to attend meetings with other agencies. The funds requested for FY 1986 and FY 1987 will also be used for travel related to the Commission's Emergency Preparedness Activities.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary

Funds	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$1,966	$2,155	$2,247
Contracts	112	120	120
Travel Budget Authority	-	1	1
Other Expenses	1,135	1,189	1,229
Total Budget Authority	$3,213	$3,465	$3,597
Full-Time Equivalent Employment	82	85	85

OFFICE OF THE GENERAL COUNSEL

The FY 1987 request for the Office of the General Counsel is $1,836,000 and 27 staff-years.

The Office provides a full range of legal services to the Commission and staff, including defenses of its decisions and responses to requests for legal opinions. Acting as defense counsel, the Office prepares and files pleadings in court, delivers oral arguments before the courts, negotiates with counsel for other parties, and advises the Commission on further steps it should take in litigated cases. Acting as legal advisor, the Office advises the Commission on defensibility of major decisions, provides drafting service in major decisions, and gives legal advice as requested by the Commission and senior staff.

The Motor Carrier Act, the Staggers Act and the Household Goods Act, passed in 1980, together with the Bus Regulatory Reform Act of 1982 have modified the extent of the Commission's economic regulation of the surface transportation industry. The modifications in regulatory practice created a considerable increase in workload for the Office as litigants tested in court the rules, procedures, and interpretations the Commission adopted to implement the Acts. As the interpretation of these laws has become more settled, employment in the Office of the General Counsel has fallen from 42 prior to the enactment of reform legislation to 27 staff-years requested in FY 1987. This is a 36-percent decrease.

MAJOR ACCOMPLISHMENTS IN FY 1985

On judicial review, the Office has prevailed in 8 out of 9 cases, on a monthly average. These court decisions include the following:

- Sustained the Commission's proposed coal rate guidelines and, specifically, the use of the stand-alone cost test as an appropriate tool for determining whether rates exceed a reasonable maximum, as announced in Ex Parte No. 347 (Sub-No. 1), Coal Rate Guidelines-Nationwide.
- Sustained the Commission's interpretations and applications of the Bus Act against State challenges, as to intrastate rate levels, in the Second Circuit (N.Y.), Fourth Circuit (W. Va.), Eleventh Circuit (Ala.) and Supreme Court (N.Y.); and, as to intrastate route discontinuances, in the Fifth Circuit (Tex.), Eighth Circuit (Minn.) and D.C. Circuit (Pa.); and, as to grants of new authority, Second Circuit (N.Y. & N.J.).
- Sustained the Commission's interpretations and applications of the Staggers Act provisions for State certification for intrastate regulation of rail rates in

the Illinois and Utah cases, as to the requirement that States adopt Commission regulations and precedents, and, in the Texas case, as to the Commission's right to refuse certification for State failure to comply with the law as interpreted and applied by the Commission.

- Sustained the Commission's approach in making findings that carriers lacked market dominance in dismissing rates complaints in Alcoa and Salt River II in the D.C. Circuit.

In its advisory service, the Office has averaged 23 formal opinions a month and provided advice and legal drafting, on a much increased scale, in numerous major cases.

OBJECTIVES FOR FY 1986 AND 1987

- Continue to provide a thorough defense of all judicially reviewed Commission decisions.
- Respond to all requests from the Commission and its staff for decision drafting and opinions on the legal implications of Commission actions and the proper interpretation and application of statutory and decisional law.

BENEFITS TO THE PUBLIC

Commission decisions made in the public interest are based upon legal advice provided by this Office which also defends those actions which are judicially reviewed.

WORKLOAD

The basic reductions in legal services workload resulting from the implementation and interpretations of the Staggers Act and Motor Carrier Act of 1980 have now occurred and have been adjusted for in the 36-percent decrease in staff-year resources since enactment of that reform legislation. No further overall workload decline is expected through FY 1986 and 1987.

Although a further decline is predicted in the number of motor freight carrier licensing cases, this represents the anticipated conclusion of multiple filings on a few remaining licensing issues which are actually being handled as one case. Thus, the elimination of these filings will have an inconsequential workload effect. That decline in the motor carrier area is predicted to be more than offset by the continued high level of rate, entry, and exit cases under the Bus Act, which involve not only the usual problems between competing carriers but also the more important questions of Federal-State relationships in the decisional processes.

Workload on rail matters is expected to remain relatively level through FY 1987. However, it is expected that the difficulty of the matters requiring opinions and judicial review will become greater, thereby actually increasing the time spent on cases. It is anticipated that, in addition to the routine shipper-carrier disputes, major cases will be generated by the proposed Santa Fe merger, an increasing number of complex rail abandonments, and issues involving the carriage of bulk items, shipper access, car hire, rate cancellation and rate reasonableness. In this regard, it should be noted that, after issuance of the Commission's decision in Ex Parte 347 (Sub-No. 1), Coal Rate Guidelines Nationwide, some 100 pending complaint cases will move on to final decision, and many may undergo judicial review due to the magnitude of the dollar amounts involved. Similarly, recent Commission actions in Ex Parte 445 (Sub-No. 1), Intermodal Rail Competition, and Ex Parte 320 (Sub-No. 3), Product and Geographic Competition, should engender significant new cases in the areas of competitive access and rate reasonableness. In all of these complex matters, the Commission will require opinions in reaching its decisions, and those decisions are likely to be contested in the appellate courts because of the significant economic impact upon the parties and the public.

Requests for legal advice on administrative matters arising in the course of the Commission's activities have continued at a consistent level over the past few years, and no appreciable change is expected in this area through FY 1987.

Workload Summary

	FY 1985	FY 1986	FY 1987
Provide Opinions on			
Rulemakings	38	40	40
Rate Cases	71	75	77
Licensing Cases	20	10	5
Finance Cases	37	40	40
Miscellaneous Matters	90	90	90
Handle Litigation on			
Rulemakings	4	5	5
Rate Cases	26	26	30
Licensing Cases	92	20	10
Finance Cases	61	60	60
Miscellaneous Matters	5	5	5
Full-Time Equivalent Employment	28	27	27
(Motor)	(7)	(6)	(6)
(Rail)	(18)	(18)	(18)
(General Management and Administration)	(3)	(3)	(3)

RESOURCES

Personnel Compensation and Benefits - Included in the $1,458,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; and estimated expenses for terminal leave, severance pay, and unemployment compensation.

Contracts - This expense is associated with access to the Department of Justice's automated legal research system, which reduces attorney research time, thereby increasing productivity.

Travel - Travel by General Counsel's Office staff is necessitated by required appearances in various courts to defend the Commission's decisions. In FY 1985 a majority of cases in which the Office participated were filed in the District of Columbia circuit resulting in lower than anticipated travel expenditures. Travel expenses are expected to return to more normal levels for FY 1986 and FY 1987.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$1,440	$1,400	$1,458
Contracts	9	9	9
Travel	11	24	24
Other Expenses	316	335	345
Total Budget Authority	$1,776	$1,768	$1,836
Full-Time Equivalent Employment	28	27	27

OFFICE OF PROCEEDINGS

The FY 1987 request for the Office of Proceedings is $8,987,000 and 140 staff-years. The Office provides the Commission the staff resources for the formulation and the articulation of new policies through the rulemaking process and adjudication of thousands of individual proceedings.

The Office has been significantly affected by the motor and rail regulatory reform legislation enacted in 1980, which generally eased the extent of the Commission's regulation of certain aspects of both transportation modes. The Bus Regulatory Reform Act of 1982, which revised the standards for passenger bus entry licensing, gave the Commission authority to preempt State regulation in passenger entry matters, route exit, and ratemaking cases when carriers seek redress from State Commission rulings or when a State Commission fails to act. The effect of each of these laws has been a significant increase in workload immediately following enactment, as carriers sought to take advantage of liberalized provisions, especially in the motor licensing, finance, and rail rate areas. Following that initial surge, however, the general result of the regulatory reform legislation was a gradual decrease in the number of filings in most motor-related workload categories.

On the rail side, however, while some areas are leveling off, others are increasing as the carriers make greater use of their new flexibility and the Commission's exemption power. As a result of provisions in the Staggers Act, the number of rail rate complaints continues to decrease from the pre-Staggers Act period. Additionally, the Act authorized the Commission to make determinations that some types of cases, because they had a minimal impact upon the National Transportation Policy, could be handled with abbreviated or no scrutiny by the Commission. Abandoment and exemption work continue at high levels.

While previous legislation has eased regulation, the Motor Carrier Safety Act of 1984 increased regulation by requiring certain previously exempt motor carriers to file for yearly certificates of registration before providing exempt service in the United States. Streamlined processing steps have been developed in order to handle these filings efficiently.

The work of the Office of Proceedings is accomplished at headquarters by employees divided by mode into Sections of Motor and Rail. The Director's Office provides policy guidance, supervision, and administrative support to the Sections.

Employment in the Office of Proceedings has decreased from a ceiling of 360 positions prior to the enactment of regulatory reform legislation to 140 staff-years requested in FY 1987, a reduction of 61 percent.

MAJOR ACCOMPLISHMENTS IN FY 1985 - MOTOR

- Processed over 13,500 applications for motor freight, bus, freight forwarder, broker, and water carrier authority within statutory deadlines.
- Implemented the Motor Carrier Safety Act of 1984, which requires foreign motor carriers to have new certificates of registration to conduct certain interstate transportation within the United States.
- Adopted regulations to exempt, on a class basis, motor finance transactions subject to 49 U.S.C. 11343(a)(1)-(5) between motor carriers of property and between property carriers and noncarriers. Also adopted the class exemption regulations as the procedural rules for processing transfers of authority between small motor carriers of property and between small carriers and noncarriers.
- Adopted final rules permitting carriers to use master leases covering more than one piece of leased equipment, and permitting the transmittal by mail, telegraph, or other similar means, of receipts that are required to be issued by a carrier acquiring the use of leased equipment.
- Modified the Commission's vehicle leasing regulations eliminating the requirement that equipment be leased for a minimum duration of 30 days when operated by its owner.
- Eliminated regulations governing assessment of charges by motor common carriers on shipments to or from private residences and similar locations.
- Initiated a proceeding to reduce the notice period for independently filed single-factor domestic motor-water property rates from the 30-days' notice now required to 1-day notice on reductions and 7-days' notice on increases.
- Initiated a proceeding to amend 49 CFR Part 1048 to define a commercial zone of four Texas counties and thereby extend the area in which certain foreign motor carriers can operate under the Motor Carrier Safety Act of 1984.

MAJOR ACCOMPLISHMENTS IN FY 1985 - RAIL

- Completed action on Ex Parte No. 347 (Sub-No. 1), Coal Rate Guidelines - Nationwide and completed action in Ex Parte No. 394 (Sub-No. 1), Cost Ratio for Recyclables - 1983 Determination.
- Completed consideration of proposed industry agreements in Ex Parte No. 320 (Sub-No. 3), Product and Geographic Competition and Ex Parte No. 445 (Sub-No. 1), Intramodal Rail Competition.
- Completed action on credit regulations, Ex Parte No. MC-1, Payment of Rates and Charges of Motor Carriers (Extension of Credit to Shippers).
- Used exemption authority under 49 U.S.C. 10505 to deregulate rail transportation activities, dealing with approval of trackage rights and issuance of securities.
- Concluded adjudication of the application of Norfolk Southern to acquire North American Van Lines.
- Concluded adjudication of the reorganization and sale of the rail assets of the Milwaukee Road to Soo Line.

OBJECTIVES FOR FY 1986 and 1987 - MOTOR

- Provide support for the Commission's effort to reduce unnecessary regulation through new rulemaking initiatives and individual exemption proceedings.
- Complete proceedings to resolve the issue of bulk restrictions in grants of specific commodity authorities.
- Process and complete all cases having statutorily mandated deadlines within required timeframes and issue certificates of registration required by the Motor Carrier Safety Act of 1984.
- Timely process cases that the Commission must consider but that have no statutory deadlines regarding such areas as:

  -- lease and interchange regulations

  -- special temporary authority procedures

  -- passenger motor carrier superhighway and deviation rules

- -- interchange policies at international boundary lines
- -- single-factor motor-water rates
- -- joint through rates involving ocean carriers
- -- recordkeeping requirements for low value package shipments

OBJECTIVES FOR FY 1986 AND 1987 - RAIL

- Provide support to the Commission's effort to reduce unnecessary regulation through new rulemaking initiatives and individual exemption proceedings.
- Maximize productivity by continuing efforts to streamline case processing and to review current practices (for instance, revising the discovery and complaint rules).
- Complete work on Santa Fe-Southern Pacific Corporation rail merger proceeding.
- Process and complete all cases having statutorily mandated deadlines within required timeframes.
- Ensure timely consideration of other cases that the Commission must by law consider but that do not have statutory deadlines on such topics as:
  - -- mileage allowances for tank cars and covered hopper cars
  - -- per diem payments for all rail equipment
  - -- competitive access (i.e., joint rate/through route cancellations and reciprocal switching)
  - -- implementation of the Commission's Ex Parte No. 347 (Sub-No. 1), Coal Rate Guidelines, Nationwide

BENEFITS TO THE PUBLIC

The Office, by processing and adjudicating thousands of cases within statutory timeframes, enables carriers, brokers, and forwarders to operate freely in the transportation marketplace. By assuring the public that applicants are operationally fit before issuing a certificate permitting interstate movements, the Office ensures the availability of competitive transportation services while protecting against the irresponsible operator.

WORKLOAD

In FY 1987, the Office of Proceedings will commit 75 staff-years to motor-related activities. Licensing work will consume about 66 percent of these resources; rate and finance activity, about 10 percent each; and rulemaking and other support activity, the balance.

Licensing, the largest workload item of the Motor Section, continued its downward trend of filings in FY 1985. When filings due to the new requirement that foreign carriers apply for certificates of registration to perform certain types of transportation are considered, they are expected to somewhat offset this decrease.

Very little change is expected in the motor rate and finance areas for FY 1987. Slight decreases in the rate area should result as the backlog of applications for approval of collective ratemaking agreements is processed. However, each such case typically requires a series of decisions. Motor finance activity should remain relatively stable because parties continue to avail themselves of simplified and cheaper procedures to merge and/or buy operating rights, equipment, and property of other carriers.

The rail workload reflects estimated filings as well as pending proceedings in three areas: rate cases, finance cases, and rulemakings. Rate cases include formal rate complaints, investigation and suspension cases, intrastate matters and State certifications, and rate exemption requests. Finance cases include rail abandonment requests filed under either the Interstate Commerce Act or Northeast Rail Services Act (NERSA), abandonment exemptions, mergers and consolidations both intra- and intermodal, and other finance related matters. Rulemakings include all finance and rate rulemakings, plus class exemption decisions which are docketed as Ex Partes.

Complaint cases will require more staff time over the next two years than in the past because the Commission is now prepared to act on approximately 100 complaint cases that have been held in abeyance awaiting final Commission decisions governing coal rate guidelines and recyclables. These cases will be among the most difficult and complex cases to be decided by the Commission. Since there are too few resources in the Rail Section and Bureau of Accounts to handle all of these cases simultaneously, the FY 1986 and FY 1987 workload reflects substantial activity on cases that are now pending. In addition, a constant flow of recyclables cases is anticipated. Finally, the number of declaratory order proceedings will remain steady into the future.

Due to compliance by the States with Commission procedures, the State certification cases were almost all completed in FY 1985. Until the States must file for recertification (five years after initial certification), there will be little certification activity. Moreover, since there have been few complaints arguing that the States have not been applying the law correctly, few appeals to the Commission are expected.

A substantial decline in rate exemptions is anticipated. The principal exemption request has been for waiver of reparations for undercharges. Since the Commission, in Ex Parte No. 387 (Sub-No. 958), has adopted a class exemption to remedy the need for this exemption, these filings should not occur in the future. Because these cases involved minimal staff resources, the loss of these cases would have little effect on staff-years. However, it should be noted that in FY 1986 the staff will be working on rate bureau agreements, and these cases are very complex and time-consuming.

The decline in projected abandonment activity results entirely from the expiration of the Conrail abandonment program under NERSA. These cases do not require a substantial commitment of staff resources. Since the final date for filing Notice of Insufficient Revenues was October 31, 1985, no NERSA activity is projected in FY 1987, but for FY 1986 at least 100 Conrail cases will have to be handled.

The number of abandonments requested under the Interstate Commerce Act is expected to remain constant or increase somewhat. These cases will utilize substantial resources. Exemption activity has increased annually, and that trend is expected to continue. If the two major industry consolidations that are pending, Southern Pacific-Sante Fe and Conrail-Norfolk Southern are approved, the result could be substantial abandonment activity by the applicants and the other carriers affected by the consolidations. Moreover, according to their system diagram maps, many carriers are considering abandonment of more lines than in the past. In any event, recent abandonment requests have required more careful analysis, since the lines have been more profitable, in better condition, and involved more traffic. This trend of more difficult and time-consuming abandonment cases will continue. Finally, the offer of financial assistance process, which permits financially responsible persons or groups to acquire or subsidize lines that would otherwise be abandoned, should continue to be the subject of substantial public interest. These cases require substantial resources because the issues are complex and the timeframes short.

Consolidation activity should remain constant into FY 1987. However, the level of difficulty of these cases will increase, as the Commission addresses the issues of parallel mergers, intermodal acquisitions, and perhaps transcontinental consolidations. A substantial number of other finance docket cases, especially exemption cases, will require work at least through FY 1987. There is no reason to anticipate any decline in these cases.

As the Commission continues to analyze its regulations and finds ways to lessen the regulatory burden, it will rely on rulemakings to lead the way. Since the Staggers Act has been largely implemented, some decrease in the complexity of rulemaking activity is anticipated.

Workload Summary

MOTOR	FY 1985	FY 1986	FY 1987
Licensing			
Permanent Motor Licensing	10,776	11,000	10,500
Bus Entry Licensing	972	900	800
Freight Forwarder and Broker Licensing	2,051	1,900	1,700
Restriction Removals	42	40	25
Operating Rights Appeals	244	260	220
Emergency/Temporary Authority Appeals	70	70	70
Water Carrier Cases	43	40	40
Rates			
Motor Complaints/Investigations Rate Related Exemptions	58	50	50
Intrastate Bus Rates/Exit	29	32	30
Rate Bureau Investigations	30	30	30
Finance			
Mergers and Acquisitions	355	350	350
Transfers	748	700	700
Finance Temporary Authority	243	200	175
Other			
Court Remands	18	18	15
Petitioned Proceedings	20	20	20
Rulemaking	10	10	10
RAIL			
Rates			
Complaints/Declaratory Orders	262	240	200
Intrastate Cases/State Certifications	35	20	15
Exemptions/Other	180	30	20
Finance			
Abandonments	783	700	600
Mergers and Consolidations	4	4	4
Other	434	400	400
Rulemakings	46	45	40
Full-Time Equivalent Employment	149	140	140
(Motor)	(83)	(75)	(75)
(Rail)	(66)	(65)	(65)

RESOURCES

Personnel Compensation and Benefits - Included in the $7,389,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; estimated expenses of terminal leave, severance pay, and unemployment compensation.

Travel - Travel expenditures by the Office are necessary to participate at meetings, conferences, and workshops. Senior staff members are called upon by government officials to give advice on ICC proceedings and regulations. Some site travel is required to develop and draft decisions. Travel is also in support of staff training at off-site locations.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$7,233	$7,089	$7,389
Contracts	-	-	-
Travel	1	10	10
Other Expenses	1,602	1,538	1,588
Total Budget Authority	$8,836	$8,637	$8,987
Full-time Equivalent Employment	149	140	140

OFFICE OF HEARINGS

The FY 1987 request for the Office of Hearings is $460,000 and 6 staff-years. The Office of Hearings devotes all its resources to the conduct of adjudicatory hearings pertaining to the motor and rail rate, finance, and licensing activities of the Commission. Administrative Law Judges conduct oral hearings as required and issue decisions after examining and weighing the evidence presented.

The changed regulatory environment brought about by the Motor Carrier Act of 1980 has virtually eliminated what was once the preponderance of the Office's workload--motor carrier operating rights cases. The few motor carrier licensing cases that now reach oral hearing involve fitness issues. Since no motor rate or finance work is projected in FY 1987, motor-generated workload will be negligible. However, a continuing docket of rail rate, abandonment, construction, and merger cases requiring oral hearing is anticipated. Employment in the Office of Hearings has decreased from a ceiling of 99 positions prior to the enactment of regulatory reform legislation to 6 staff-years requested in FY 1987; this is a 94-percent decrease.

MAJOR ACCOMPLISHMENTS IN FY 1985

- Completed hearings and negotiated agreements in Ex Parte No. 456, The Staggers Rail Act of 1980 - Conference of Interested Parties.
- Completed hearings for the evidentiary record in the Santa Fe/Southern Pacific Railroad merger application case.
- Completed hearings and issued decisions in the Tongue River rail extension and in several rail abandonment cases.
- Continued making progress in a case concerning the restructuring of the nationwide system by which railroads compensate shippers for use of private tank cars.
- Completed Commission action through settlement of 20 Section 229 Staggers Act cases. Less than 10 percent of the original number of cases remain.

OBJECTIVES FOR FY 1986 AND FY 1987

- Complete action on remaining Section 229 Staggers Act cases.
- Complete evidentiary record in rail rate, abandonment, construction, or merger cases that may be assigned for hearing because of significant economic impact on the transportation industry.

- Render assistance to the Commission by handling discovery problems in those cases in which there is a need for an experienced adjudicator.

BENEFITS TO THE PUBLIC

Hearings associated with complex and contentious major cases provide the various competing interests and the general public an opportunity to delineate and focus on the differing issues. This enables the Commission to render decisions based on a clearly developed record.

WORKLOAD

Prior to 1980, motor carrier licensing cases were frequently opposed by competing carriers, and a significant number of these opposed cases were assigned for oral hearing. Under the present, more relaxed entry standards, however, few cases are opposed, and most cases can be resolved on a record consisting of written pleadings. Certain rail and intermodal cases are a different matter. Hearings serve as forums for articulating differing viewpoints over policy matters in significant cases and for developing a complete factual record for decisionmaking. Usually, they are held in cases where material facts are in controversy and information is best elicited through cross-examination of expert witnesses. Such cases may also entail extensive pretrial discovery and the motion practice that accompanies such discovery.

In addition, the prospect of a hearing often provides the impetus to force opposing parties into serious negotiation. With the aid of an Administrative Law Judge, such negotiations can develop stipulations on issues or resolution of the conflict, thus obviating the need for a hearing. In such instances, the judges are able to conclude cases more quickly and efficiently, to the benefit of those parties without extensive legal resources, while continuing to be available for the major cases of national significance which require the full hearing process.

With the increasing mileage and complexity involved in anticipated rail abandonment cases, hearings will take place in some of these proceedings. Additionally, the rail and intermodal merger cases projected for FY 1987 will undoubtedly require hearings.

Workload Summary

	FY 1985	FY 1986	FY 1987
Rate Case Hearings	35	30	20
Finance Case Hearings	4	10	10
Licensing Case Hearings	12	8	5
Full-Time Equivalent Employment	11	8	6
(Motor)	(-)	(-)	(-)
(Rail)	(11)	(8)	(6)

RESOURCES

Personnel Compensation and Benefits - The Office of Hearings will require $347,000 to support 6 staff-years in FY 1987. In addition to direct salary costs, this amount includes the Government's contributions to life and health insurance, retirement, and FICA; incentive awards; and expenses for terminal leave, severance pay, and unemployment compensation.

Travel - These expenses are directly related to the number, type, location, and length of hearings. The estimated travel costs are $10,000.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$684	$443	$347
Contracts	-	-	-
Travel	7	10	10
Other Expenses	149	113	103
Total Budget Authority	$840	$566	$460
Full-Time Equivalent Employment	11	8	6

OFFICE OF PUBLIC ASSISTANCE

The FY 1987 request for the new Office of Public Assistance is $935,000 and 15 staff-years. This new Office will be formed in FY 1986 to assume the functions previously performed by two existing offices: the Office of Special Counsel and the Small Business Assistance Office. In addition, the State/community affairs liaison position will be transferred to this Office from the Office of Legislative and Public Affairs.

The mission of the Office is to assist the public in dealing with Commission rules and practices in certain cases (such as, bus rate and exit, rail abandonment, and various applications from small businesses) and for developing and maintaining cooperative relations with State and local governments. The Office will attempt to improve the quality of the Commission's public assistance services by simplifying agency procedures, keeping certain segments of the public abreast of ICC actions, contributing to the development of a complete record in agency proceedings, and advising the Commission of public needs and concerns relating to the regulated surface transport industry.

The staff is based at headquarters, but field visits are made when a request for Commission action filed by a carrier generates widespread public interest and many people and groups seek special assistance concerning the matter.

FY 1985 ACCOMPLISHMENTS

- Published an updated version of a procedural guidebook on intrastate bus rate and exit cases and circulated a new guidebook explaining public participation in rail abandonment cases.
- Counseled shippers and communities regarding abandonment procedures and methods of attracting new shortline operators as an alternative to abandonment of rail lines.
- Assisted State regulatory commissions, consumer groups, and State representatives in numerous intrastate bus rate and exit proceedings.
- Responded to nearly 10,000 inquiries from the public regarding Commission practices and policies and reviewed over 200 draft filings prior to their being filed with the Commission.
- Published a new booklet explaining application procedures relevant to certain railroad filings; updated and revised several guides relating to motor carrier licensing and operations.

OBJECTIVES FOR FY 1986 AND FY 1987

- Furnish input on proposed policy changes and legislation having potential impact on small businesses, small shippers, and consumers.
- Provide advice and counsel to communities, special groups, shortline railroads, and State officials concerning Commission practices and procedures in bus, motor freight, and rail proceedings.
- Update guidebooks on intrastate bus rate and exit cases, rail abandonment procedures, and several types of motor carrier authority applications.
- Promote and coordinate harmonious State and community relations in areas of Commission regulation.

WORKLOAD

The Office of Public Assistance responds to requests for information and counseling from a varied constituency ranging from the individual or small business with a trucking problem to a community or State regulatory commission concerned with the potential effect of a proposed abandonment of a rail line.

As other offices within the Commission have reduced staff, requests for information and assistance have increasingly gravitated to this Office. This has been most noticeable in the 30-percent increase in contacts following the recent elimination of the Ombudsman's Office in the Office of Proceedings. While the increase in inquiries regarding motor matters can be attributed to that change, the more complex and time-consuming requests for assistance relating to railroad abandonment applications and the acquisition and operation of new shortline railroads have also risen.

A number of the recent abandonment applications have involved longer rail lines with some remaining traffic. Although a Class I railroad may be unable to operate the line profitably, a shortline may be able to succeed in the same situation. The continued publication and dissemination of the Office's guidebook on public participation in rail abandonment cases, together with its booklet describing various railroad application procedures will direct the public to this Office for information and assistance in these cases. Intensive staff effort is required when the most controversial cases are set for oral hearing or when railroad acquisition or financial assistance filings involve complex issues. This trend toward increasingly complex abandonment proceedings is expected to continue through FY 1987.

In addition to its role in responding directly to public concerns, the Office reviews and prepares comments for the Commission on Congressional or Commission proposals having a potential surface transportation impact on small business, consumers, or State and local jurisdictions.

Since the higher level of contacts experienced in FY 1985 and FY 1986 is expected to continue during FY 1987, existing staff will be utilized to assist those with specific questions and parties involved in Commission proceedings. Therefore, the Office will be forced to defer updating and revising some of the instructional/informational guidebooks which provide answers to many of the general questions that are asked concerning the Commission's regulations and application procedures. The additional 2 staff-years requested in FY 1987 will enable the Office to handle the present level of inquiries and to resume revision of these informative publications.

RESOURCES

Personnel Compensation and Benefits - The Office of Public Assistance will require $800,000 to support 15 staff-years in FY 1987. In addition to direct salary costs, this amount includes the Government's contributions to life and health insurance, retirement, and FICA; incentive awards; and expenses for terminal leave, severance pay, and unemployment compensation.

Travel - Travel costs are directly related to requests for assistance received and, especially in rail abandonment cases, to the location and length of hearings in which the Office participates. (Hearings in rail abandonment cases are often held in rural areas, resulting in increased transportation costs.) Due to the funding limitation in FY 1985, most assistance activities were performed by use of long-distance telephone conversations and through correspondence. Under less restrictive funding conditions these activities would have been more effectively conducted by means of field travel. A relatively small amount of travel funding in FY 1986 and FY 1987 will restore this office's ability to perform these functions and will also enable the Office to participate in State/community liaison meetings.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary [1]

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$608	$714	$800
Contracts	-	-	-
Travel	2	13	15
Other Expenses	105	114	120
Total Budget Authority	$715	$841	$935
Full-Time Equivalent Employment	12	14	15
(Motor)	(7)	(5)	(5)
(Rail)	(5)	(9)	(10)

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[1] The above table incorporates staff-years and expenses of the Office of Special Counsel and the Small Business Assistance Office for FY 1985 and FY 1986. In addition, the State/community liaison position which will be transferred from the Office of Legislative and Public Affairs to this Office is reflected in the FY 1987 column.

OFFICE OF TRANSPORTATION ANALYSIS

The FY 1987 request for the Office of Transportation Analysis is $2,512,000 and 30 staff-years. The Office has three primary missions. First, it ensures that economic, environmental, and energy concerns are assessed in Commission decisions. In fulfilling this mission, evidence submitted in Commission proceedings is subjected to rigorous economic and environmental analysis. Analytical support is provided to other Commission organizations responsible for carrying out compliance, enforcement, costing, and related functions.

Second, the Office develops and conducts evaluations and special studies into economic aspects of various regulations. For instance, the Office monitors the effects of regulatory reforms on rail, truck and bus transportation. The Office develops and maintains economic and statistical tools for the above purposes and provides liaison with government agencies, industries, and organizations on major transportation issues.

Third, the Office performs duties relevant to the statutory responsibilities assigned to the Rail Services Planning Office under the Regional Rail Reorganization Act of 1973 and the Railroad Revitalization Act of 1973 and the Railroad Revitalization and Regulatory Reform Act of 1976.

The Office of Transportation Analysis consists of three sections: the Section of Research and Analysis, the Section of Energy and Environment, and the Rail Services Planning Section. All staff are located in Washington, D.C.

MAJOR ACCOMPLISHMENTS IN FY 1985

- Provided analytical support on a number of rail rulemakings dealing with issues such as car hire/car service, reciprocal switching, market dominance, rail cost adjustment, cost recovery percentage, coal rate guidelines, exemptions, anti-trust, revenue adequacy and subsidies.
- Provided environmental, economic and other analytical support for rail acquisitions/mergers, abandonments, and construction cases.
- Initiated or completed a number of studies and analyses to determine the impact of regulatory reform legislation. These included periodic monitoring reports on activity in the motor freight and bus industries; a bus terminal study mandated by the Bus Regulatory Reform Act; a study to determine the effects of the Household Goods Transportation Act on shippers and carriers; and assessment of the impact of the

TOFC/COFC exemptions and informal monitoring studies of railroad activities under the export coal and boxcar exemptions; an assessment of the nature, extent, and impacts of joint rate and reciprocal switching cancellations; an update of the Minority and Female Owned Motor Carrier listing; and a study to determine the level of participation in rail contract rates and their impact on the rail industry and shippers.

- Developed information on the rail, bus, and trucking industries to be used in oversight hearings.
- Carried out a variety of public assistance activities, including assistance with regard to contract rates, shortline acquisitions, and abandonment/subsidy activities.

OBJECTIVES FOR FY 1986 AND 1987

- Provide economic and environmental analysis of merger proposals, rail line construction proposals, rail abandonment applications, and major rail rulemaking or policymaking efforts.
- Provide analytical support for other rail case work.
- Conduct rail monitoring studies assessing the impacts of Commission decisions and provisions of the Staggers Act.
- Undertake and complete all required/requested analyses, studies, reports, and monitoring for rail activities.
- Provide support in evaluating legislative proposals and preparing for oversight hearings.
- Carry out statutory responsibility for the functions of the Contract Advisory Service.
- Carry out statutory responsibility for maintaining subsidy standards for freight and commuter services.
- Provide effective assistance in the areas of abandonment, acquisitions, and subsidies.

BENEFITS TO THE PUBLIC

The Commission's major decisions have a significant impact on the public, including carriers, their customers, and the public-at-large. The Office of Transportation Analysis' provision of technically proficient economic, industrial, and environmental analyses for the Commission's consideration benefits the public by helping to provide the sound basis for decisions.

The analyses carried out by the Section of Energy and Environment are primarily concerned with public health and safety. The staff identifies probable effects of a proposed action on air quality, noise levels, water quality, and overall safety; recommends measures to ameliorate any adverse impacts to the quality of the human environment; and explores issues in proceedings before the Commission which involve energy conservation, wildlife, historic preservation, and land use.

The Section of Rail Services Planning provides technical and planning assistance to community groups faced with loss of rail service by abandonment, furnishing information on the Commission's abandonment procedures. It also provides guidance and assistance in studying the economic feasibility of operating short line railroads. In addition, all inquiries from shippers, carriers, or member of the public regarding rail contract rates are referred to the Contract Rate Advisory Service; these inquiries require explanation of Commission rules and procedures for filing contracts.

WORKLOAD

The FY 1987 staffing level is based on the belief that all of the Office's major objectives for rail work are essential and that minimal staffing for analysis, studies, and contracting will be sufficient to carry out necessary motor work. The Office will not participate in motor case and rulemaking work.

The Office's focus will be on rail matters. Continuation of the rail merger movement and a growing interest in intermodal mergers are expected to keep the workload high. Economic and environmental analyses of proposed mergers will focus on competitive and environmental impacts, public benefits, and carrier efficiency.

Considerable resources will also be devoted to rail monitoring studies and major rail rulemakings. Rulemakings, while expected to remain relatively constant in their number, will almost certainly increase in both complexity and controversy. Support for other case work will include analysis of such matters as market dominance, rate restructuring, or joint rate and reciprocal switching cancellations. Assistance will also be provided in the conduct of rail rate bureau compliance surveys.

Total workload associated with energy and environmental matters will remain constant through FY 1987. The need for resources for the preparation of environmental documentation on rail line construction applications is expected to increase. Most construction applications will involve the movement of coal. The need for environmental assessments associated with rail line abandonments and exemptions is expected to increase somewhat in number and complexity in FY 1987. The need for contractual support to supplement staff expertise is expected to increase due to the increasing complexity of cases, as well as lack of staff expertise in increasingly specialized areas, such as toxic wastes.

Workload and resources devoted to public assistance (the Contract Advisory Service, subsidy standards for freight and commuter service, assistance to the public in understanding abandonment, subsidy, and acquisition procedures) are decreasing somewhat through FY 1987.

Workload Summary

Rail and Motor Combined	FY 1985	FY 1986	FY 1987
Rulemakings	17	14	14
Analyses/Studies	22	14	14
Legislative Support	14	14	14
Public Assistance	10,700	10,100	9,500
Case Work	403	449	449
Rail			
Rulemakings	16	14	14
Analyses/Studies	17	13	13
Legislative Support	12	14	14
Public Assistance	10,200	10,100	9,500
Case Work	401	449	459
Motor			
Rulemakings	1	-	-
Analyses/Studies	5	1	1
Legislative Support	2	-	-
Public Assistance	500	-	-
Case Work	2	-	-
Full-Time Equivalent Employment	35	30	30
(Rail)	(33)	(30)	(30)
(Motor)	(2)	(-)	(-)

RESOURCES

Personnel Compensation and Benefits - A total of $1,819,000 will be needed to support OTA's 30 staff-years. Included in this amount are direct salary costs; the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; and estimated expenses for terminal leave, severance pay, and unemployment compensation.

Contracts - A total of $310,000 is requested for contracting for various data, studies and analyses in FY 1987. A discussion of individual projects follows:

- Waybill sample - $75,000 - The Commission's Waybill Sample is the basic source of rail transportation data. Contract funds will be used to fund a competitively awarded contract for the processing of waybill samples from 1986 and 1987.

- Supplemental Expertise - $170,000 - In several instances, contracts will be used to engage consultants to supplement the staff's analytical capability for a variety of economic and environmental purposes. Typically, these contractors work closely with staff members to develop or analyze data or to assist in developing documentation. Such assistance is necessary because the small staff in this Office does not always have the specific expertise needed for a particular project. (Due to the severe shortage of funds during FY 1985, utilization of outside expertise was dramatically curtailed. The results were unfinished projects and new projects foregone or delayed.) The need for contractual assistance to supplement the efforts of in-house staff is expected to increase in Fiscal Years 1986 and 1987, as case complexity increases.

- Bus Monitoring - $25,000 - In FY 1987, one or more small contracts will be issued to continue monitoring changes in the bus industry subsequent to the Bus Regulatory Reform Act. These studies will supplement previous studies in order to provide an accurate picture of developments occurring under relaxed regulation.

- Monitoring Rail Exemptions - $40,000 - The Staggers Rail Act of 1980 included a provision permitting the Commission to exempt from regulation rail traffic that is limited in scope or subject to effective competition. It is important that the effects of such exemptions be monitored to assess whether the anticipated benefits are achieved. In the event that adverse effects outweigh benefits, the Commission has the power to revoke the exemption.

Travel - A total of $28,000 is requested for travel during FY 1987. During FY 1985, only absolutely essential travel was allowed. As a result, a number of important activities were curtailed or delayed. In FY 1986, this situation has been largely eliminated with the restoration of travel funds to a level comparable to that requested for FY 1987. The majority of travel funds will be used by the Section of Energy and Environment for the physical inspection of sites of proposed projects and for conducting independent evaluations and verifications of data provided by the parties to the proceedings. Additional travel funds will be used in carrying out rail monitoring studies, rail rate bureau compliance surveys, and in projects involving abandonments and short line acquisitions.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$1,896	$1,745	1,819
Contracts	165	258	310
Travel	8	28	28
Other Expenses	347	344	355
Total Budget Authority	$2,416	$2,375	$2,512
Full-Time Equivalent Employment	35	30	30

BUREAU OF ACCOUNTS

The FY 1987 request for the Bureau of Accounts is $4,993,000 and 75 staff-years.

The Commission's decisionmaking process is based in part on information about the regulated carriers, their costs of operations, market position, shippers, financial condition, and the financial and economic impact of their policies and practices. The Bureau of Accounts supports this decisionmaking process by providing analyses of cost and financial evidence in rate and finance cases; costing, financial accounting, and engineering expertise in rulemakings; and uniform, reliable, and current financial and statistical data on carriers' performance.

The support which the Bureau provides to the Commission and other offices is dependent on the accounting and reporting systems prescribed by the Commission. Its functions ensure the accuracy and reliability of carrier data coming from these systems and help form a sound basis for decisionmaking. These functions include developing and updating accounting and reporting systems, compiling carrier and industry data, evaluating rail costing methodologies, developing cost information, determining the value of rail property and rail revenue adequacy, performing various costing projects and studies, and conducting audits of Class I railroads which focus on specific operating expenses and related statistics.

The Bureau of Accounts is presently divided into the following organizational components: the Director's Office and the Sections of Accounting and Reporting, Audit, Cost Development, Cost Analysis, and Financial Analysis. The majority of the Bureau's staff is located in Washington, D.C. The employees of the Section of Audit who conduct the on-site reviews of carrier accounting records are currently located in the field; these field positions will be abolished during FY 1986.

The Bureau has reduced staff along with the declining volume of work which has resulted from regulatory reform legislation and Commission policy decisions. It has reorganized to eliminate overhead positions and make operations more efficient. The FY 1987 staffing plan calls for a major restructuring of the Bureau, which will occur during the fourth quarter of FY 1986 and which recognizes the continuing need to streamline operations. The 5 sections are being consolidated into 3 sections. The audit, accounting and reporting functions will be combined into the Section of Audit and Accounting. The current sections of Cost Development and Cost Analysis will be combined into the Section of Cost Support. This will align staffs having similar professional disciplines and technical backgrounds, resulting in improved flexibility in making assignments and a more efficient handling of the workload. Along with the consolidation, an intermediate layer of supervision will be abolished.

In addition to the reorganization, another major change will occur in FY 1987 which results in the need for fewer staff. Independent public accountants will be conducting audits currently being performed by the Bureau's audit staff. In Ex Parte No. 460, Certification of Railroad Annual Report R-1 by Independent Accountant, the Commission decided to require all Class I railroads to submit a report from an independent public accountant certifying that specific data in the R-1 annual report has been examined, using agreed upon procedures, and is in compliance with the Uniform System of Accounts for railroads. The audit procedures to be used by the public accountants will be established through the coordinated efforts of the Commission and the American Institute of Certified Public Accountants. Public accountants will be engaged by the railroads to conduct these audits, and ICC staff in headquarters will provide guidance and oversight.

Overall, employment in the Bureau will have fallen from a ceiling of 234 prior to enactment of regulatory reform legislation to 75 staff-years in FY 1987, a reduction of 68 percent.

MAJOR ACCOMPLISHMENTS IN FY 1985

In FY 1985, the Bureau devoted significant staff resources to rulemakings, with the largest portion committed to two major proceedings: Ex Parte No. 347 (Sub-No. 1), Coal Rate Guidelines-Nationwide; Ex Parte No. 393 (Sub-No. 1), Standards for Railroad Revenue Adequacy. Additional resources were devoted to the rulemakings on the cost recovery percentage, the rail cost adjustment factor for the all-inclusive index and productivity adjustment, and the annual cost of capital and revenue adequacy determinations.

Regarding the more readily quantifiable work efforts, the Bureau:

- Performed 22 rail audits.
- Completed 31 rail and 4 motor costing projects or studies.
- Analyzed 28 Class I railroad and 200 motor carrier annual reports for compliance with Commission rules.
- Provided 230 interpretations (180 rail and 50 motor) of accounting and reporting systems.
- Compiled carrier data to produce 32 reports of transport statistics (18 rail, 14 motor).

- Provided case support for 32 motor and bus rate cases, 46 rail rate cases, and 35 rail finance cases.
- Completed 44 analyses of various types on the financial condition of railroads.
- Completed the reprogramming of the Uniform Railroad Costing System; programs, data bases and manuals are now available for computing rail costs on IBM and DEC equipment.

OBJECTIVES FOR FY 1986 AND 1987

- Provide costing, financial, and engineering analyses and staff work for motor and rail cases and rulemakings.
- Provide support, as needed, to the Rail Accounting Principles Board on costing and accounting issues.
- Compile transport statistics and produce 14 motor and 18 rail reports.
- Issue amendments to the accounting and reporting rules to keep the regulated carriers' accounting systems current with ICC data needs and generally accepted accounting principles.
- Perform statutorily required calculations, such as the annual cost recovery percentage and the rail cost adjustment factor, for use in rail costing activities of all Class I railroads.
- Develop the annual cost of capital and the revenue adequacy determinations for railroads.
- Develop necessary cost-of-service information for use in measuring reasonableness of freight rates.
- Develop specific audit procedures to be followed by independent public accountants in conducting audits of Class I railroads and begin implementation in FY 1986.

BENEFITS TO THE PUBLIC

Most of the work of the Bureau of Accounts is in support of other ICC organizational components and, thus, provides an indirect public benefit. In the rulemaking area, much of the support the Bureau provides is aimed at establishing standards and criteria which the Commission uses in making decisions regarding the reasonableness of rates, as well as whether and to what extent certain shippers need protections from carrier practices. Case support activities include determining whether proposed rate changes, such as coal rate increases and motor carrier general rate increases, are reasonable based on carrier costs. Analyses are performed to verify evidence submitted in proceedings and ensure that the information upon which decisions are based is sound.

Financial and statistical information reported by the regulated carriers is maintained in a public reference room and serves as a ready source of information for the public and the industry. In addition, much of this information and other industry data is compiled into reports of transport statistics which are available to the public and provide many Government and non-governmental organizations with statistical data.

WORKLOAD

The Bureau of Accounts divides its work into three major areas: case support, policy and rulemakings, and data integrity. Case support consists of performing analyses for rate and finance proceedings related to specific carriers involved in the cases. Motor carrier cases are primarily general rate increase cases, while rail activity deals with rate cases and finance cases where cost, financial, and depreciation analyses associated with abandonments and mergers are required. Only a small number of staff-years is now devoted to motor case support. This activity is expected to decline in the next two years because the number of general rate increase requests is expected to decline.

Rail case support workload, on the other hand, is less predictable. Now that the maximum rate guidelines under Ex Parte No. 347 (Sub-No.1) have been decided by the Commission, the Bureau will be analyzing the cases which had been awaiting this decision. The workload units for each of the next two years is based on the backlog. The guidelines are broad, allowing for innovation and flexibility in presenting information for the Commission to consider. An increase in staff effort will be needed to analyze these cases, due to the magnitude and complexity of evidence expected to be submitted. However, overall staff resources devoted to case support activities will remain constant between FY 1985 and 1987.

Policy and rulemaking activity focuses largely on rail activities. While some work deals with accounting and reporting rules, the major effort is associated with establishing guidelines or standards on costing and financial policy issues.

In FY 1985, two major rulemakings, Ex Parte No. 347 (Sub-No. 1), Coal Rate Guidelines-Nationwide, and Ex Parte No. 393 (Sub-No. 1), Standards for Railroad Revenue Adequacy, required significant resources devoted to development of issue papers and modification of these rulemakings. In FY 1986 and

1987, the level of effort required for policy and rulemaking activities is expected to decline, resulting in a reduction in the number of staff-years devoted to these activities.

Data integrity work for motor carriers deals with general commodity carriers, i.e., those carriers which file for general rate increases. This work includes interpretations of the Uniform System of Accounts, collection and publication of data filed in reports to the Commission, and motor cost studies.

Overall, staff effort for motor carrier work will decrease substantially from FY 1985 to FY 1987. This is due to the combined effects of reductions in required work effort, increases in productivity and the Bureau's reorganization, which will reduce the organization from 5 to 3 sections. Additionally, the Motor Carrier Regional Cost Study completed in 1985 was a major effort which required significant resources. In FY 1986 and 1987 motor carrier cost studies will include only minor projects. Although the total work units in this activity are level, the resources required will be reduced.

Rail data integrity activities concern the 27 Class I railroads; these will continue through FY 1987. In FY 1987, independent public accountants will begin conducting audits of the Class I railroads under the supervision of Bureau audit managers. During FY 1986, specific audit procedures will be developed which the public accountants are to follow to assure the continued reliability of reported data.

Some work decreases will occur in the rail area, as a result of the sale of Conrail and as fewer requests for interpretations of accounting and reporting rules are received. Resources for these rail activities will also decrease.

Reviews necessary for prescribing depreciation methodologies and rates continued in FY 1985. These reviews were necessitated by the conversion to depreciation accounting for the track structure accounts, which was effective with the 1983 annual reports. The reviews have not been completed for all of the Class I railroads due to technical problems with their methodologies and the diversion of staff to higher priority rate cases and rulemakings. The work units in the next 2 fiscal years reflect catching up on these deferred reviews.

Workload Summary

	FY 1985	FY 1986	FY 1987
Rates Casework	78	75	75
Finance Casework	35	30	30
Interpretations	230	150	150
Analyzing Annual Reports	228	228	228
Analyzing Financial Condition of Railroads	44	40	40
Compiling Transport Statistics	32	32	32
Depreciation Activities	15	20	10
Costing Projects/Studies	35	31	27
Audits	22	24	23
Full-Time Equivalent Employment	107	91	75
(Motor)	(15)	(11)	(9)
(Rail)	(92)	(80)	(66)

Motor Workload

	FY 1985	FY 1986	FY 1987
Rates Casework	32	29	29
Interpretations	50	40	40
Analyzing Annual Reports	200	200	200
Compiling Transport Statistics	14	14	14
Costing Projects/Studies	4	4	4
Full-Time Equivalent Employment	15	11	9

Rail Workload

	FY 1985	FY 1986	FY 1987
Rates Casework	46	46	46
Finance Casework	35	30	30
Interpretations	180	110	110
Analyzing Annual Reports	28	28	28
Analyzing Financial Condition of Railroads	44	40	40
Compiling Transport Statistics	18	18	18
Depreciation Activities	15	20	10
Costing Projects/Studies	31	27	24
Audits	22	24	23
Full-Time Equivalent Employment	92	80	66

RESOURCES

Personnel Compensation and Benefits - The Bureau of Accounts will require $3,867,000 in personnel compensation and benefits to support 75 staff-years in FY 1987. In addition to direct salary costs, this amount includes the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; and expenses for terminal leave, severance pay, and unemployment compensation.

Contracts - The Bureau will require $58,000 for contracts in FY 1987. These funds will be used to collect and analyze motor and rail data and to develop rail line-segment information.

Compilation of transport statistics is a continuing contract requirement necessary to produce the motor and rail reports used in the Bureau's data integrity activities. In FY 1985, when a new contractor took over this function, some start-up costs were incurred. Therefore, the projection for FY 1986 and 1987 funds is lower.

The line-segment identification contract links the Bureau with a commerical data bank to produce alternative routings for rail shipments. This information is used in preparing analyses of rate cases.

Travel - The primary use of travel funds by the Bureau of Accounts is for audits of the Class I railroads, which are performed by the field staff. Travel expenses in FY 1985 were $234,000, with $170,000 budgeted for FY 1986. For FY 1987, $240,000 was the original estimated travel requirement based on the projected performance of 23 rail audits by Bureau auditors. Subsequent to the development of that estimate, the Commission authorized the Bureau to change audit procedures. As a result, in FY 1987, audits will be performed by independent public accounting firms. Therefore, the Bureau will require only $70,000 for site visits to oversee this new audit method and for other official travel.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$5,002	$4,508	$3,867
Contracts	78	61	58
Travel	234	170	240*
Other Expenses	966	909	828
Total Budget Authority	$6,280	$5,648	$4,993
Full-time Equivalent Employment	107	91	75

* Subsequent to the development and approval of this estimate, the travel requirement decreased to $70,000, as a result of the new method for conducting carrier audits.

BUREAU OF TRAFFIC

The FY 1987 request for the Bureau of Traffic is $3,522,000 and 75 staff-years.

The Bureau of Traffic's responsibilities relate to the statutory requirement that regulated carriers file tariffs with the Commission. It processes, examines, and files tariff publications and related documents. The Bureau acts upon petitions and protests and prepares orders for action by the Commission. Also, the Bureau employee boards take initial action for the Commission on matters involving rate and tariff provisions.

In addition to its primary role regarding the receipt of tariffs, the Bureau provides tariff interpretations through an informal process which enables parties to avoid the expenditure of the time and money involved in formal proceedings. Rate and tariff analysis support is provided to the Office of Proceedings and the Office of Hearings in formal complaint cases, classification cases, and other matters. The Bureau provides rate and tariff analyses for the Office of Compliance and Consumer Assistance, and staff members serve as expert witnesses in enforcement cases. The Bureau's staff also participates in rulemaking activities requiring their expertise.

Recent legislation has had a varied impact on the Bureau. For example, as a result of the Staggers Act, rail tariff filings have declined significantly, while rail contract filings, which require an examination process, have increased greatly. The Motor Carrier Act of 1980 has resulted in a curtailment of motor carrier suspension cases, while it has caused a dramatic increase in motor carrier tariff filings. The Bureau has accommodated these changing workloads by shifting the focus of its available resources. Employment in the Bureau has fallen from a ceiling of 178 prior to enactment of regulatory reform legislation to a requested 75 staff-years in FY 1987, a reduction of 58 percent.

The Bureau is comprised of the Director's Office; the Section of Tariffs, which is responsible for tariff examination and related activities; the Section of Rates and Informal Cases, which interprets rate and tariff provisions; and the Suspension/Special Permission Board, which handles protests of rate and tariff provisions, requests for confidential information from rail contracts under discovery procedures, and requests for relief from tariff publishing regulations. All Bureau employees are located in Washington, D.C.

For FY 1986, the Bureau proposed the merging of two employee boards--the Suspension Board and the Special Permission Board. In order to accommodate FY 1985 budget limitations, this organizational change was implemented well in advance of the planned date. The new Suspension/Special Permission Board, with three fewer staff positions than originally assigned to the two boards, is now handling all suspension cases, rail contract discovery petitions, and special permission applications.

MAJOR ACCOMPLISHMENTS IN FY 1985

- Received, processed, reviewed, and filed over 1.6 million tariffs and related documents; criticized or rejected 16,000 tariffs.
- Answered 20,000 inquiries from the public, carriers, and government agencies about carriers' tariffs.
- Handled 3,900 applications for special permissions, special dockets, and released rates.
- Disposed of 85 investigation and suspension cases, petitions for reconsideration, and requests for discovery and/or review of rail contract provisions.
- Provided rate and tariff analysis support in over 300 enforcement and adjudication cases.
- Issued over 7,200 informal opinions on tariff provisions.
- Processed 25 informal complaints and reparation orders.
- Participated in 53 rulemakings and special projects.

OBJECTIVES FOR FY 1986 and 1987

- Receive, process, review and file 1.8 million tariffs and related documents annually.
- Examine tariffs for violation of Commission decisions and tariff regulations in response to complaints from the public.
- Process approximately 2,250 special permission, special docket, and released rates applications each year.
- Respond to all requests for investigation/suspension of proposed carrier tariff provisions and for rail contract discovery/review of contract provisions.

- Provide rate and tariff analysis support for formal proceedings and enforcement cases.

- Issue informal opinions and respond to inquiries on tariff related matters.

- Prepare reparation orders, participate in rulemakings, and provide rate and tariff support for special projects.

BENEFITS TO THE PUBLIC

The Bureau maintains a tariff library which consists of all the regulated carriers' tariffs and related documents. Maintenance of the library and availability of that information for the public's use effectively serves to stimulate competition among carriers to the benefit of the shipping community and the consumer public.

After tariffs become effective, questions arise on the proper application or interpretation of tariff provisions. A special effort is made to respond to such requests from small shippers or occasional users of carrier services who do not have tariff expertise available to them. The Bureau also provides an "informal opinion" process for resolving disputes arising from disagreements over tariff rates and provisions; the process is used by all segments of the transportation community. This procedure is a less costly alternative to the Commission's formal proceedings mechanism and reduces the formal dockets of the Commission and the courts.

WORKLOAD

The number of tariff publications and related documents filed with the Commission increased dramatically after the passage of reform legislation. This trend was due largely to the carriers' need to respond to changes in a more competitive market. Part of the increase also may be attributed to the Staggers Act provisions allowing the filing of rail contracts. These filings increased 40 percent between FY 1984 and 1985, and a continued increase is expected in FY 1986 and 1987.

In FY 1986, the tariff examination program will include a title-page review of all tariffs. However, in-depth review will occur if a complaint regarding a specific tariff is received. Nearly 70 percent of the Bureau's personnel resources will be devoted to activities involving receipt of carriers' tariffs and related documents.

Although the normal workload volume of the Suspension/ Special Permission Board is expected to continue to decline, the increasing complexity of the cases will partially offset reductions in workload. The Board is now handling rail contract discovery and review petitions, which offsets the decrease in suspension cases.

Requests for tariff interpretations and certifications are expected to increase slightly in 1986 and level off in 1987 because of the increased filing of tariffs by individual motor carriers.

Rulemaking workload will probably remain constant, and special projects are expected to continue at a high level. These projects involve such activities as gathering rate and tariff information for oversight hearings, compiling data for reports to Congress, and advising the Commission and other bureaus and offices on the potential effects of various regulatory relief proposals on carriers' rates and tariffs.

Organizational changes have contributed to efficiencies which have allowed the elimination of some positions in the Bureau. Most workload items should remain relatively constant between 1986 and 1987, except for motor tariff and rail contract filings, which should increase approximately 10 percent.

Workload Summary

Motor and Rail Combined	FY 1985	FY 1986	FY 1987
Tariff and Related Documents Maintenance and Examination	1,626,100	1,746,600	1,897,600
Tariff Liaison/Counseling	20,000	20,000	20,000
Special Permissions	3,313	1,600	1,600
Rate Regulation Matters	615	650	650
Interpretations/Certifications	7,267	7,525	7,525
Case Analysis Support	301	276	276
Rulemakings/Special Projects	53	40	40
Motor			
Tariff and Related Documents Maintenance and Examination	1,485,000	1,593,200	1,733,200
Tariff Liaison/Counseling	18,000	18,000	18,000
Special Permissions	2,306	1,130	1,130
Rate Regulation Matters	50	50	50
Interpretations/Certifications	5,100	5,500	5,500
Case Analysis Support	78	72	72
Rulemakings/Special Projects	26	20	20
Rail			
Tariff, Contract, and Related Documents Maintenance and Examination	141,100	153,400	164,400
Tariff Liaison/Counseling	2,000	2,000	2,000
Special Permissions	1,007	470	470
Rate Regulation Matters	565	600	600
Interpretations/Certifications	2,167	2,025	2,025
Case Analysis Support	223	204	204
Rulemakings/Special Projects	27	20	20
Full-Time Equivalent Employment	79	75	75
(Motor)	(60)	(56)	(56)
(Rail)	(19)	(19)	(19)

RESOURCES

Personnel Compensation and Benefits - Included in the $2,637,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; estimated expenses for terminal leave, severance pay, and unemployment compensation.

Travel - Travel funds are used to participate in educational seminars on rates and tariffs and in conferences sponsored by other government agencies or transportation organizations. Travel funds are also used for transportation to off-site training sessions for various supervisory and management officials of the Bureau.

Other Expenses - This category includes the Bureau's costs for office space, telephone service, mail, printing and reproduction, building and equipment maintenance and repair services, training, general office supplies, furniture, and equipment.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$2,579	$2,528	$2,637
Contracts	-	-	-
Travel	-	2	3
Other Expenses	823	856	882
Total Budget Authority	$3,402	$3,386	$3,522
Full-Time Equivalent Employment	79	75	75

OFFICE OF COMPLIANCE AND CONSUMER ASSISTANCE

The FY 1987 request for the Office of Compliance and Consumer Assistance is $13,416,000 and 218 staff years.

This Office is responsible for overseeing the regulated surface transportation industry's compliance with the Interstate Commerce Act, related statutes, and Commission regulations; advising the Commission concerning industry and individual carrier operations and practices; enforcing existing statutes and regulations; and rendering decisions on applications for emergency and temporary operating authority. In addition, the Office provides information and assistance to the general public and the industry.

The Office of Compliance and Consumer Assistance monitors carrier insurance filings, rail car service, and carrier compliance through a program of carrier site surveys, roadchecks, and other compliance reviews and inspections; investigates potential violations of the statutes and regulations; and enforces the law through its prosecutorial program. The Office acts upon all findings of non-compliance, employing a range of resolutions, which include discussions with carriers, written notifications and warnings, consent agreements, revocations of operating authority, and civil and criminal legal actions. Its consumer assistance functions include responding to complaints, inquiries, and requests on operational matters. Regional employee boards handle licensing applications for emergency and temporary motor carrier operating authority.

The number of staff performing the functions delegated to OCCA will fall from a ceiling of 605 positions prior to enactment of deregulatory legislation to 218 staff-years by FY 1987. This is a decrease of 64 percent.

During the transition toward a more deregulated environment, the focus of this Office's activities has been refined and some workload has declined; however, consistent with the remaining regulatory requirements, the same general range of activities continues. Staff reductions have been possible because of workload reductions and through organizational and administrative changes. A substantial organizational change will be implemented in FY 1986, establishing a new field structure for FY 1987. The new organizational structure will be divided into a headquarters staff and three regional offices, under which there will be 19 field offices. This is a reduction from the FY 1986 structure of six regional offices and 49 field offices.

This reorganization is consistent with the reduced regulatory role brought about by the major legislative and policy reforms in the surface transportation industries in recent years. Many legitimate competitive market strategies employed by carriers today would have been subject to enforcement under previous regulatory requirements. The regulatory reforms have reduced the level of complaints received by the Commission and decreased the number of applications for short-term operating authority. Since compliance and consumer activities are principally handled in the field, there has been a reduction in the field staff of over 50 percent since 1980.

It is no longer necessary or appropriate to maintain the organizational structure required by the the regulatory program of an earlier period. The three-region concept provides sufficient decentralized control to manage and direct the Commission's field operations. The reorganization plan also provides for an increase of staffing at several offices to ensure an adequate staff presence to serve the public efficiently. Moreover, the offices which will remain open were selected, in part, because of the heavier rail operations conducted in those areas. Thus, there will likely be little need for further reorganization in the field as motor carrier deregulation continues.

MAJOR ACCOMPLISHMENTS IN FY 1985

FY 1985 was the first full year under the Commission's new Enforcement Policy that established 20 enforcement categories, of which 11 are considered high emphasis subjects. These 11 are:

Antitrust
Ethics
Fitness/Safety
Household Goods
Illegal Lumping
Insurance
Kickbacks
Overcharges/Duplicate Payments/C.O.D./Claims
Owner-Operator Problems
Unauthorized Passenger Carrier Operations
Weight Bumping

The following is a list of accomplishments for this office during FY 1985:

- Conducted over 1,000 final investigations.
- Developed 725 litigation cases resulting from those investigations.

- Of the total number of final investigations, over 90% were in high emphasis areas.
- Of the total number of litigation cases, over 85% were in high emphasis areas.
- Conducted over 1,200 compliance surveys, principally of motor carriers.
- Engaged in a series of special studies involving such matters as rail service, commuter van operations, property brokers, and motor carrier operations along the Mexican border.
- Issued 42 Car Service Orders assuring rail service and equipment to shippers and passengers.
- Handled over 16,000 insurance assignments in the field resulting from cancellations of carriers' policies by insurance companies.
- Issued over 4,400 orders relating to the revocation of operating authority certificates.
- Decided over 5,000 applications for emergency temporary and temporary authority; processed emergency temporary authority applications on a 1-day average turnaround; processed temporary authority applications on a 20-day average turnaround (including a mandatory 15-day statutory delay period for public notice purposes).
- Handled over 13,800 complaints, leading to the recovery of over $1.5 million for complainants, including owner-operators.
- Handled over 158,000 inquiries from the public on subjects ranging from requests for bulletins to complicated transportation issues.
- Developed a training program for staff and carrier industry officials serving in the Commission's National Defense Executive Reserve.

OBJECTIVES FOR FY 1986 AND FY 1987

- Implement a field reorganization to deploy the Commission's enforcement resources more effectively.
- Identify violations of the laws under the Commission's jurisdiction and encourage marketplace solutions.

- Continue extensive use of such litigative options as consent agreements, injunctions and violation notices, and, when necessary, employ prosecutorial measures to achieve compliance.
- Concentrate on the high emphasis enforcement areas.
- Engage in a compliance survey program, with particular regard to the high emphasis enforcement categories; continue to resolve non-compliance administratively, setting flagrant types of violations for final investigation.
- Conduct inspections, in connection with other Federal agencies, at United States-Mexico border crossing locations to exclude Mexican carriers not having the required Certificates of Registration to enter the United States, consistent with Public Law 98-554.
- Handle approximately 20,000 insurance assignments in the field in both FY 1986 and 1987.
- Conduct approximately 14 rate bureau compliance surveys to determine the level of compliance with the agreements approved by the Commission.
- Provide priority handling of consumer assistance requests.
- Expeditiously process and decide approximately 4,800 licensing applications, maintaining turnaround times of approximately 1 day for emergency temporary authority and 20 days for temporary authority applications.
- Continue to provide informal interpretations on transportation-related issues, particularly operating authority certificates.

BENEFITS TO THE PUBLIC

Carriers and shippers are required to comply with the surface transportation statutes and the ICC's related regulations. The compliance monitoring and enforcement programs are a means of ensuring that reasonable compliance is maintained in the transportation industry, so that all parties, abiding by the same rules, can vigorously compete. The general public derives benefits from that competition.

The insurance monitoring function is designed to identify carriers without appropriate bodily injury and cargo insurance and to prohibit them from operating over the highways until proper insurance coverage is obtained. The prevention of uninsured operations reduces risk to the public.

Consumer assistance activities provide consumers and members of the industry with transportation information and with an avenue to address problems relating to carriers' operations.

The public also benefits from the services provided by the field staff in the licensing process for short-term operating authority. Time is critical in applications for temporary or emergency authority. The field staff processes these applications expeditiously, thus ensuring that transportation services are made available to the public in a timely manner.

WORKLOAD

The work of the Office is divided into four major areas: licensing, consumer assistance, compliance, and enforcement. Most of this workload is industry- or public-generated. However, much of the work in the compliance and enforcement areas is initiated by the Office in response to complaints or other information which indicates possible non-compliance. Generally, the range of work requirements remains very broad, but the work volume in the compliance monitoring and enforcement areas has declined and is expected to decline further in the deregulatory environment.

Licensing activity involving emergency and temporary authorities has also declined over the past few years, and a moderate reduction is expected in FY 1986 and FY 1987. Staff resources are being reduced in proportion to the workload decline.

Roadchecks will increase in FY 1986 and 1987. The increase is due to inspections at United States-Mexico border crossing points to exclude Mexican carriers not having Certificates of Registration issued by the Commission.

Compliance staff attempt to resolve instances of non-compliance directly with the carrier, without further Commission action. When this is not possible or appropriate, enforcement staff efforts are enlisted. The enforcement program is designed to resolve, if possible, non-compliance or other statutory violations through activities short of formal prosecution.

Insurance assignments are expected to increase as carriers continue to encounter problems maintaining coverage, because: the minimum levels of insurance coverage that carriers must maintain have increased; the impact of aggregation of coverage has resulted in the cancellation of a portion of the coverage by one of the carriers' insurers; insurance premiums have increased precipitously; and, there is a continuing increase in the total number of regulated carriers. Early FY 1986 statistics show that insurance assignments are running higher than anticipated.

FY 1985 brought unprecedented enforcement activity in the insurance area. Insurance will continue as a high profile enforcement item, accounting for a sizable number of litigative cases in FY 1986 and 1987. The Office will also place continued importance on other high emphasis enforcement items. In particular, the Overcharges, Duplicate Payments, C.O.D., Claims category, along with Owner-Operators and Unauthorized Passenger Service, will be priority areas of concern. Accordingly, these items will claim a good portion of the staff resources proposed for each year.

The investigation and litigation programs in FY 1986 and 1987 will be directed by complaints, other leads, and staff-initiated compliance activity where complaints are not sufficient to generate reasonable effort in the high emphasis areas. Special agents will work closely with field attorneys to resolve cases through the use of violation notices rather than prosecution, where possible and appropriate. Where litigation is necessary, the preferred action will be consent agreements, injuctions and civil forfeitures.

Workload Summary

	FY 1985	FY 1986	FY 1987
Emergency and temporary authority applications	4,804	4,800	4,400
License revocations	4,876	4,800	4,800
Inquiries	155,000	149,000	132,300
Interpretations	176	216	216
Complaints	12,536	12,125	11,225
Insurance assignments 1/	16,678	20,000	20,000
Roadchecks	810	1,200	1,200
Compliance surveys/ special projects	1,331	1,000	750
Rate bureau reviews	20	14	14
Fitness reviews	9,869	8,500	8,500
Preliminary investigations	1,649	650	430
Final investigations 1/	1,271	800	670
Litigation	958	700	600
Full-Time Equivalent Employment	273	246	218
(Motor)	(250)	(226)	(198)
(Rail)	(23)	(20)	(20)

1/ Investigations of insurance matters are normally less time-consuming than allegations of non-compliance in other enforcement categories. For this reason, unless full field investigation of an insurance matter is required, the investigative stage will be reported as regular insurance work in FY 1986 and 1987. This will reduce the number of final investigations and increase the number of insurance assignments subsequent to FY 1985.

Motor Workload

	FY 1985	FY 1986	FY 1987
Emergency and temporary authority applications	4,804	4,800	4,400
License revocations	4,876	4,800	4,800
Inquiries	153,000	147,000	130,300
Interpretations	166	206	206
Complaints	12,387	12,000	11,100
Insurance assignments	16,678	20,000	20,000
Roadchecks	810	1,200	1,200
Compliance surveys/ special projects	1,281	950	700
Rate bureau reviews	18	12	12
Fitness reviews	9,869	8,500	8,500
Preliminary investigation	1,626	620	400
Final investigations	1,256	780	650
Litigation	923	680	580
Full-Time Equivalent Employment	250	226	198

Rail Workload

	FY 1985	FY 1986	FY 1987
Inquiries handled	2,000	2,000	2,000
Interpretations	10	10	10
Complaints handled	149	125	125
Compliance surveys/ special projects	50	50	50
Rate bureau reviews	2	2	2
Preliminary investigations	23	30	30
Final investigations	15	20	20
Litigation	35	20	20
Full-Time Equivalent Employment	23	20	20

RESOURCES

Personnel Compensation and Benefits - The Office of Compliance and Consumer Assistance will require $10,187,000 in personnel compensation and benefits to support 218 staff-years in FY 1987. In addition to direct salary costs, this amount includes the Government's contribution to life and health insurance, retirement, and FICA; incentive awards; and expenses for terminal leave, severance pay, and unemployment compensation. Personnel changes associated with the field reorganization will take place in the last quarter of FY 1986. Costs from these changes (terminal leave, severance pay, unemployment compensation, and some relocation expenses) will occur in FY 1986 and FY 1987, with the greatest portion being incurred in FY 1987.

Travel - For FY 1985, $714,000 initially was estimated for OCCA's travel costs. However, because very little travel was necessitated by 1985's funding crisis, OCCA's travel costs were at an unusually low level of $446,000. The effect of this reduction was that many important work activities could be accomplished only at or near the offices where the staff was stationed. At the same time, travel by the headquarters' staff and travel by regional officials for on-site inspections of the field office operations were virtually eliminated. No travel costs for training purposes were incurred in FY 1985.

OCCA's FY 1986 travel costs are estimated at $660,000. The Office's work activities will be spread across a wider territory in each region than the more localized efforts necessitated in FY 1985. While the local saturation effort was workable for a short time period during the funding crisis, in the long-term it is far less effective than a balanced program pursued throughout each region. The $660,000 estimate is based on an average on-board field staff of 120 special agents and 16 attorneys.

For FY 1987, travel expenses are estimated at $740,000. The increase over FY 1986 relates to special agents' increased travel brought about by the closing of 33 offices. The remaining staff of 99 Special Agents at 3 regional and 19 field offices will assume the responsibility for the territory previously assigned to the closed offices. Therefore, the travel of about 40 percent of the special agents will increase.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Implementation of the reorganized field structure for FY 1987 will take place late in FY 1986. Costs associated with moving the offices (furniture moves, office space modifications, etc.) will occur in FY 1986. However, those one-time expenses which relate to relocating the staff (e.g., household goods transportation and storage) will occur primarily in FY 1987.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$11,505	$10,650	$10,187
Contracts	-	-	-
Travel	446	660	740
Other Expenses	2,658	2,642	2,488
Total Budget Authority	$14,609	$13,952	$13,415
Full-Time Equivalent Employment	273	246	218

VICE CHAIRMAN SIMMONS, commenting:

I disagree with the majority's decision to reduce the Regional and field offices of OCCA at this time. Regrettably, this action was made without prior consultation with the appropriate Congressional committees. I continue to believe that the drastic reduction of field offices proposed would seriously compromise, if not hamper, our effectiveness and ability to provide the transportation industry, shippers, and the public with vital services, such as information, investigations, and our general expertise. Indeed, this proposal reduces the public's access to the Commission. In addition, I am concerned that the restructuring could jeopardize the agency's responsibilities under the National Defense Executive Reserve.

OFFICE OF THE MANAGING DIRECTOR

The FY 1987 request for the Office of the Managing Director is for $4,736,000 and 82 staff-years. The Office of the Managing Director provides for the day-to-day administration of the Commission. It is responsible for the coordination of the Bureaus' and Offices' programs and activities. It provides necessary administrative support services for both the headquarters and field staff.

Employment in the Office has fallen from a ceiling of 259, prior to deregulation legislation in 1980, to the requested 82 total staff-years in FY 1987. This is a 68-percent decrease. Since the Office is essentially the provider of support services, deregulatory legislation has not had a direct impact on the Office. However, as staffing has been reduced throughout the Commission, the staff of the Office has decreased significantly. These staff decreases reflect significant productivity gains which have been achieved in recent years. While efforts to increase productivity are continuing, it has become very difficult to continue to reduce staff resources at the rapid rate previously demonstrated.

The Office is comprised of four sections and the Managing Director's immediate office, which provides for the day-to-day administration of the Commission and fulfills the Commission's obligations under the Privacy and Freedom of Information Acts. The Personnel Office plans, develops, and implements the personnel management program for the agency. The Budget and Fiscal Office provides budget planning, financial management, and fiscal support. The Section of Administrative Services provides purchasing, housing, building maintenance, safety, security, telecommunications, and other general support services. The Section of Systems Development is responsible for providing computer and word processing support. All employees are located in Washington, D.C.

MAJOR ACCOMPLISHMENTS IN FY 1985

- Completed the FY 1985 supplemental budget requests necessary to allow the Commission to continue performing critical functions and to cover pay raise costs; developed staff papers and special financial analyses for staff of Congressional appropriations subcommittees in support of the FY 1985 supplemental budget request.

- Developed and implemented an Action Plan designed to limit FY 1985 staff-year and dollar expenditures to the $48 million level originally appropriated for FY 1985. This included providing direction and personnel services to effect six Bureau and Office organizational realignments and reductions-in-force; designing and implementing a furlough plan to hold expenditures within the $48 million; reducing travel costs by more than 25 percent; releasing 73,989 square feet of rented space, resulting in total savings of over $1 million; completing a comprehensive review of telephone lines and equipment, which resulted in savings of approximately $9,000 per month; and reduced various rental and supply costs by more than $100,000.

- Developed computerized space assignment and telephone inventory accounting systems.
- Developed reorganization proposals for review and decision by the Commission, in conjunction with preparation of the FY 1987 budget estimates.
- Completed a compliance report on the regional field position and grade structure; the Office of Personnel Management accepted the ICC findings and approved the position structure.
- Completed FY 1986 budget submission and appendix materials for OMB and Congress; developed and coordinated answers to 300 questions regarding the FY 1985 Supplemental and FY 1986 Budget requests which were asked by the House and Senate Appropriations Committees for the hearing records.
- Completed initial FY 1987 budget submission to OMB and Congress.
- Implemented the Diners Club Government Card Program, decreasing the amount of outstanding travel advances by $82,000 and virtually eliminating the use of GTRs (Government Travel Requests).
- Responded to approximately 900 external and internal requests for information and statistics from ICC data bases.
- Redesigned the Uniform Reporting System/Enforcement Case Tracking System to maintain better and more accurate computer information for regional and headquarters management.
- Responded to Privacy/Freedom of Information Act requests within an average of 10 days and was upheld on those appealed to the General Counsel's and Chairman's Offices.

OBJECTIVES FOR FY 1986 AND FY 1987

- Coordinate day-to-day operations of the agency, providing required administrative services to support Commission programs, with emphasis on improving quality and reducing costs.
- Renegotiate collective bargaining agreements with the agency's unions.
- Develop and implement FY 1986 and FY 1987 spending plans to ensure that funding and staff-year limitations are not exceeded.
- Provide necessary personnel services and logistical support associated with implementation of the Commission's approved reorganization plan and revise computerized systems and related reports accordingly.
- Ensure that all financial management processes are carried out in a timely and accurate fashion.
- Review space needs and, based upon planned reorganizations and anticipated attrition, reduce square footage required to support agency personnel.
- Redesign the case status system to provide better workload reports and reduce maintenance costs.
- Convert payroll system from in-house hardware to time-sharing system.

BENEFITS TO THE PUBLIC

The Office serves the public interest in several ways. It guards against fraud, errors, and inefficiency in the agency. This includes ensuring that all purchases and financial transactions are accurate, appropriate, and properly recorded. It determines the proper classification for positions and establishes the eligibility of applicants, ensuring that individuals are qualified for jobs and appropriately compensated.

WORKLOAD

Although the Office's staffing levels have been significantly reduced each year since passage of regulatory reform legislation, it is now at the point where significant reductions will be possible only at the expense of critical services. The Office's position is made particularly difficult by the fact that, as agency staffing reductions are carried out, workload in a number of essential service areas is significantly increased. Reductions in force involve complex work and heavy expenditures of staff resources. Increases in retirements and other voluntary separations also increase personnel and payroll workloads on a short-term basis. Staffing reductions result in redundancy of office space, furniture and equipment, thereby increasing the work associated with disposing of the excess space and property. The need for labor-saving automated systems also increases as staffing declines. Consequently, workload and staffing requirements of the Managing Director's Office do not always change in direct proportion to agency-wide workload and staffing levels.

During FY 1985, much of this Office's time and attention were consumed by three activities: 1) planning and implementing the cost reductions necessary to stay within FY 1985 funding; 2) developing and monitoring progress on the FY 1985 supplemental budget request, the FY 1986 President's Budget, and the FY 1987 budget request; and 3) developing the agency reorganization proposals.

In order to accomplish high priority work, and because there was a hiring freeze, the Office was forced to defer accomplishment of a number of necessary maintenance activities. The Office was unable to implement its planned position classification program of cyclical reviews, which enhance classification accuracy and ensure full audit coverage over a specified period of time. Incentive awards activities and training operations were all but eliminated. The Office was unable to keep pace with demands for special data outputs, new systems development, and redesign of existing systems. While employees received their paychecks in a timely fashion, the Office was unable to adhere to its normal schedules for auditing leave records and for submitting various reports required by other agencies. Although significant effort was devoted to budget execution due to the severe funding situation, it was not possible to conduct quarterly program reviews, perform management analyses, and carry out program evaluation projects. Backlogs developed in several areas, and response time increased significantly.

Implementation of the Commission's approved reorganization plans will result in increases in personnel, payroll, space planning, and property management workload during FY 1986. The staffing levels proposed for the Office of the Managing Director for FY 1986 and FY 1987 will allow the office to perform these functions, with some deferred activities. Staffing requirements are expected to remain unchanged between FY 1986 and FY 1987.

Workload Summary

Major Workload Items	FY 1985	FY 1986	FY 1987
Privacy/FOIA Requests	650	650	650
Position Classification Reviews	600	550	550
Personnel Documents/Records Processed	2,100	2,000	1,800
Paychecks Issued	24,200	23,400	22,100
Vouchers/Invoices Processed	8,800	8,800	8,800
Accounting Entries	33,000	36,000	34,000
Receipts Deposited	70,000	69,000	68,000
Contracts/Procurement Actions	1,226	1,300	1,200
Space and Building Services	2,003	2,200	2,100
ADP Systems Maintained	60	60	55
ADP Programs Maintained	5,000	5,000	5,000
Full-Time Equivalent Employment			
General Management and Administration	86	82	82

RESOURCES

Personnel Compensation and Benefits - Included in the $3,299,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, and FICA; and incentive awards.

Contracts - The FY 1987 estimate of $57,000 for contracts for the Managing Director's Office is the office's pro-rated share of basic support contracts. These include time-sharing, computer and equipment maintenance, health services, and miscellaneous service contracts.

Travel - The $13,000 requested for travel will cover the costs of visits to the field offices to train or assist employees in the use of new word processing equipment, new or updated computer systems, performing personnel management functions, administrative procedures, and in resolving problems. It also includes funds needed to represent the agency at Merit Systems Protection Board hearings. A minimal amount is included to cover local travel and temporary duty travel associated with management and other training.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications and utilities, supplies, equipment maintenance and general support services.

Resource Summary

Funds ($000)	FY 1985	FY 1986	FY 1987
Personnel Compensation and Benefits	$3,371	$3,164	$3,299
Contracts	51	49	57
Travel	14	13	13
Other Expenses	1,163	1,338	1,367
Total Budget Authority	$4,599	$4,564	$4,736
Full-Time Equivalent Employment	86	82	82

SUMMARY OF INCREASES AND DECREASES BY MAJOR OBJECT CLASS

(in thousands of dollars)

	FY 1985	FY 1986	INCREASE/ (DECREASE)	FY 1987
Personnel compensation	$34,747	$32,790	$(356)	$32,434
Personnel benefits	3,877	3,874	(54)	3,820
Benefits for former personnel	646	375	175	550
Travel and transportation of persons	736	965	154	1,119
Transportation of things	5	104	(54)	50
Rental payments to GSA	5,396	5,078	(102)	4,976
Communications and utilities	2,306	2,152	(73)	2,079
Printing and reproduction	455	555	-	555
Other services	1,687	2,073	77	2,150
Supplies and materials	303	281	(4)	277
Furniture and equipment	97	70	149	219
Leasehold improvements	41	90	(20)	70
Tort claims and indemnities	1	1	-	1
Total obligations	**$50,297**	**$48,408**	**$(108)**	**$48,300**

COST JUSTIFICATIONS
BY
MAJOR OBJECT CLASS

During FY 1985, the Commission took radical measures to curtail all non-personnel expenses in an attempt to reduce the number of employees fired and the number of furlough days necessary to stay within the appropriation. As a result, all non-personnel expenses that could be administratively controlled were under-funded in relation to the requirements. These low levels of expenditure cannot be sustained for a prolonged time period without causing serious operational problems. Therefore, the funding requirements estimated for these expense categories in FY 1986 and FY 1987 represent a necessary return to a more adequate spending level.

Personnel Compensation		
	FY 1986 --	$32,790,000
	FY 1987 --	$32,434,000
	Decrease --	$ 356,000

This category includes costs for compensation for all personnel, terminal leave for personnel leaving Government service, overtime and night differential pay, and incentive awards. Of the total, $31,793,000, or over 98%, is for basic pay, which includes adjustments for anticipated within-grade and merit increases. Overall, personnel compensation is decreasing because the number of staff is decreasing.

Since 1980, compensation costs at the ICC have fallen at a much lower rate than on-board strength. There are at least three reasons for this: First, because of budget shrinkage, the Commission has essentially been in a no-hire posture for several years and has not experienced the normal infusion of lower-graded, entry-level employees; second, reduction-in-force procedures dictate the release of those employees with the least tenure; and, third, non-RIF related attrition has occurred primarily among clerical and administrative support personnel, who have the greatest job mobility in the present employment market. Within the last calendar year alone, average salary increased nearly 4 percent. As the workforce continues to mature, the additional costs of within-grade step increases and merit increases made under the Performance Management Recognition System will be incurred. Therefore, a continued increase in the average salary of ICC employees is projected for FY 1987.

Personnel Benefits		
	FY 1986 --	$ 3,874,000
	FY 1987 --	$ 3,820,000
	Decrease --	$ 54,000

Costs for the Government's contribution to life and health insurance, Civil Service Retirement, and FICA will decline in proportion to the decrease in personnel compensation.

Also included in the estimates of personnel benefits are $100,000 to cover amounts paid to the Department of Labor under the Federal Employee Compensation Act and $130,000 for real estate costs and employee moving expenses associated with the restructuring of the field organization.

Benefits for Former Personnel	FY 1986	--	$ 375,000
	FY 1987	--	$ 550,000
	Increase	--	$ 175,000

The FY 1987 cost estimate covers severance payments and unemployment compensation which will result from the reorganization actions expected to be implemented in the fourth quarter of FY 1986. Because of the timing of the planned reduction-in-force actions, more of the costs will be incurred in FY 1987 than 1986.

Travel and Transportation of Persons	FY 1986	--	$ 965,000
	FY 1987	--	$ 1,119,000
	Increase	--	$ 154,000

Travel funds will be used largely for program travel, the majority of which is performed by personnel in the Office of Compliance and Consumer Assistance. Travel for field staff will increase as they assume responsibility for territories previously assigned to the offices that will be closed. Subsequent to the development and approval of this estimate, the travel resources needed for the Bureau of Account's audit staff decreased by $170,000, as a result of the new method for conducting carrier audits.

Transportation of Things	FY 1986	--	$ 104,000
	FY 1987	--	$ 50,000
	Decrease	--	$ 54,000

These funds are for movement of office furniture and equipment, as well as of employees' household goods for changes of duty station. A number of field employees are expected to relocate due to the modification of the field structure; expenses for these moves will be incurred in both FY 1986 and 1987.

Rental Payments to GSA (Space Rental Costs)	FY 1986	--	$ 5,078,000
	FY 1987	--	$ 4,976,000
	Decrease	--	$ 102,000

This payment is made to the General Services Administration for rental of space and the costs of utilities. A 3-percent rate increase is anticipated for FY 1987; this will partially offset the planned reduction in space occupancy and related costs resulting when the field structure is modified.

Communications and Utilities

FY 1986 -- $ 2,152,000
FY 1987 -- $ 2,079,000
Decrease -- $ 73,000

The FY 1987 costs included in this category are: local telephone service estimated at $363,000, long distance telephone service at $890,000, postage at $450,000, and copier rentals at $300,000. The reduction of $73,000 from FY 1986 will result from decreased telephone service and copier rental expenses associated with staff reductions and reorganization of the field offices.

Printing and Reproduction

FY 1986 -- $ 555,000
FY 1987 -- $ 555,000
$ -0-

This includes the cost of printing services provided by the Government Printing Office and by private contractors. A major cost item is publication of the Commission's rulemakings and rail notices and decisions in the Federal Register. The number of notices and decisions published is expected to remain constant between FY 1986 and FY 1987.

Other Services

FY 1986 -- $ 2,073,000
FY 1987 -- $ 2,150,000
Increase -- $ 77,000

This category includes costs for computer timesharing services ($700,000), non-ADP service contracts ($554,000), training costs ($142,000), and small amounts for a variety of maintenance and miscellaneous services. There is an increased need for contract resources to obtain technical services in some areas where Commission expertise is unavailable.

Supplies and Materials

FY 1986 -- $ 281,000
FY 1987 -- $ 277,000
Decrease -- $ 4,000

This category includes costs for all office, computer, copier, and word processing supplies, as well as costs of periodicals. These costs will decrease slightly as staff levels decline.

Furniture and Equipment

FY 1986 -- $ 70,000
FY 1987 -- $ 219,000
Increase $ 149,000

This estimate includes approximately $200,000 for the purchase of microcomputers to augment or replace timesharing services currently being contracted. The microcomputers will be used primarily to develop and maintain the rail depreciation system, the Uniform Rail Costing system, to maintain several program and administrative statistical data bases, and to perform complex financial analyses. These activities are largely associated with the rail program.

Leasehold Improvements

FY 1986	-- $	90,000
FY 1987	-- $	70,000
Decrease	-- $	20,000

These costs are for minor structural changes to the building and for office alterations. As employees are relocated through reorganization or in order to accomplish space rental savings, some alterations will have to be made to office space. The major portion of the costs associated with restructuring of the field organization will be incurred during FY 1986, allowing for a reduction in related costs for FY 1987.

Tort Claims and Indemnities

FY 1986	-- $	1,000
FY 1987	-- $	1,000
	$	-0-

These costs are for indemnities for destruction of property or injury to persons or property and payments for other losses.

PAYMENTS FOR DIRECTED RAIL SERVICE

If a railroad ceases operations due to a lack of cash or a court order, the Interstate Commerce Commission is authorized to direct other railroads to continue the service of the railroad which ceased operations. The directed carriers are reimbursed for the losses incurred and paid 6 percent of gross revenues on the service performed. This authority is limited to an initial 60-day period; the Commission may extend this period for up to an additional 180 days.

The last instance of directed rail service occurred between October 5, 1979, and March 23, 1980, when the Kansas City Terminal Railway Company (KCT) provided service over the lines of the Chicago, Rock Island and Pacific Railway Company.

In January 1985, the KCT submitted evidence in support of a claim for additional compensation. In a decision on April 1, 1985, the Commission denied the request. However, the KCT filed a petition to reopen the case, requesting the opportunity to submit further argument. The Commission reopened the proceeding, and will decide this matter during FY 1986.

Under the Continuing Resolution for FY 1986, P.L. 99-190, $2.3 million of the unobligated balance remaining from the Directed Service supplemental appropriation of FY 1982 was transferred to the Interstate Commerce Commission's Salaries and Expenses account, leaving a balance of $53,000 in the Payments for Directed Rail Service appropriation account.

No new directed rail service is anticipated in FY 1986 or FY 1987.

INTERSTATE COMMERCE COMMISSION

PAYMENTS FOR DIRECTED RAIL SERVICE

Sources and Uses of Funds
(dollars in thousands)

	FY 1985	FY 1986	FY 1987
Sources of Funds			
Unobligated Balance Available, Beginning of Year	$2,353	$2,353	$ 53
Recovery of Prior Year Obligations	-	-	-
Transfer to ICC Salaries and Expenses [1]	-	(2,300)	-
Total Funds Available	$2,353	$ 53	$ 53
Uses of Funds			
Payments to Kansas City Terminal Railway Co.	$ -	$ -	$ -
Total Payments	$ -	-	-
Unobligated Balance, End of Year	$2,353	$ 53	$ 53

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[1] Transferred under P.L. 99-190, signed into law on December 19, 1985, which provides continuing appropriations through FY 1986.